

NELSON DAVID D
Form 4
May 29, 2018

FORM 4

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

OMB APPROVAL

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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person *
NELSON DAVID D

2. Issuer Name and Ticker or Trading Symbol
WEST BANCORPORATION INC
[WTBA]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
1601 22ND STREET
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
03/26/2018

Director 10% Owner
 Officer (give title below) Other (specify below)
CEO & PRESIDENT

WEST DES MOINES, IA 50266
(City) (State) (Zip)

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V Amount (A) or (D) Price | | | |
| COMMON STOCK | 05/23/2018 | | L | 339 ⁽¹⁾ A \$ 25.34 | 95,103 | D | |
| COMMON STOCK | 03/26/2018 | | G | 7,378 ⁽²⁾ D \$ 0 | 87,725 | D | |
| COMMON STOCK | 03/26/2018 | | G | 7,378 ⁽²⁾ A \$ 0 | 39,084 | I | By Katherine A. Nelson Rev Trust |
| COMMON STOCK | | | | | 432 ⁽³⁾ | I | By Nicholas Robert |

| | | | |
|--------------|-------------------|---|---|
| COMMON STOCK | 199 <u>(4)</u> | I | Nelson Roth IRA By Natalie Ann Nelson Roth IRA |
| COMMON STOCK | 22,799 <u>(5)</u> | I | By 401(k) Plan |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

SEC 1474 (9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Price of Derivative Security (Instr. 5) | 9. Nu... |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|----------|
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|----------|

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

NELSON DAVID D
1601 22ND STREET
WEST DES MOINES, IA 50266

X

CEO &
PRESIDENT

Signatures

Marie I. Roberts, By Power of Attorney

05/29/2018

 **Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

- (1) Share acquired pursuant to reinvestment of dividends received into purchases of new shares.
- (2) Shares were transferred to Katherine A. Nelson Revocable Trust.
- (3) 16 shares were acquired pursuant to reinvestment of dividends received.
- (4) 8 shares were acquired pursuant to reinvestment of dividends received.
- (5) 161 shares were acquired pursuant to dividend reinvestment purchases in the employee savings plan 401(k) during the period from January 1, 2018 through March 31, 2018.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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