

Capps Kimberly A
Form 4
January 08, 2019

FORM 4

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

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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
Capps Kimberly A

2. Issuer Name **and** Ticker or Trading
Symbol
SOUTHERN MISSOURI
BANCORP, INC. [SMBC]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)
SOUTHERN MISSOURI
BANCORP, INC., 2991 OAK
GROVE ROAD
(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
01/04/2019

____ Director ____ 10% Owner
__X__ Officer (give title below) ____ Other (specify below)
EVP, Chief Operations Officer

POPLAR BLUFF, MO 63901

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

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

(City) (State) (Zip)

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)
Common Stock	01/04/2019		A ⁽¹⁾	600 A \$ 0	55,586.12	D	
Common Stock					44,111.35 ⁽²⁾	I	By 401(k)
Common Stock					360	I	Held by daughter
Common Stock					360	I	Held by son

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

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(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. Amount or Number of Shares	
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option (Right to Buy)	\$ 6.375							<u>(3)</u>	01/19/2020	Common Stock	10,000
Stock Option (Right to Buy)	\$ 37.31							<u>(4)</u>	01/16/2028	Common Stock	2,000
Stock Option (Right to Buy)	\$ 34.35	01/04/2019		A		2,000		<u>(5)</u>	01/04/2029	Common Stock	2,000

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Capps Kimberly A
SOUTHERN MISSOURI BANCORP, INC.
2991 OAK GROVE ROAD
POPLAR BLUFF, MO 63901

EVP, Chief Operations Officer

Signatures

/s/ Kimberly A.
Capps

01/07/2019

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).

The shares are scheduled to vest over a five-year period beginning February 9, 2020, with up to 20% of the shares vesting on that date and

(1) on each of the next four anniversaries of that date based on the extent to which the Company's annualized return on average assets over the 12 calendar quarters ending immediately prior to the applicable vesting date exceeds a threshold level.

(2) Reflects 401(k) contributions that have occurred since the date of the reporting person's last ownership report.

(3) The options become exercisable in 20% installments over a five year period with the first installment vesting on 1/19/2011. Each remaining installment vests annually thereafter.

(4) The options become exercisable in 20% installments over a five year period with the first installment vesting on 1/16/2019. Each remaining installment vests annually thereafter.

(5) The options become exercisable in 20% installments over a five year period with the first installment vesting on 1/04/2020. Each remaining installment vests annually thereafter.

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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