

BROOKS DAVID H
Form 4
February 05, 2003

FORM 4

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

OMB APPROVAL

☐ 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**

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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

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1. Name and Address of Reporting Person*			2. Issuer Name and Ticker or Trading Symbol				6. Relationship of Reporting Person(s) to Issuer (Check all applicable)	
Brooks David H.			S.Y. Bancorp, Inc. SYI				☒ Director — ☐ 10% Owner — ☒ Officer (give title below) — Other (specify below) <u>Chairman & CEO</u>	
(Last) (First) (Middle)			3. I.R.S. Identification Number of Reporting Person, if an entity (voluntary)		4. Statement for Month/Day/Year		7. Individual or Joint/Group Filing (Check Applicable Line) ☒ Form filed by One Reporting Person ☐ Form filed by More than One Reporting Person	
4010 Fox Meadow Way								
(Street)			5. If Amendment, Date of Original (Month/Day/Year)					
Prospect, KY 40059								
(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 & 5)	5. Amount of Securities Beneficially Owned Following Reported Transactions(s) (Instr. 3 & 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)	
Common Stock	2/5/2003		P	100 A	7.25			
Common Stock	2/5/2003		S	100 D	36.82	7,468	D	
Common Stock						22,828	I	
Common Stock						7,457.990	I	
Common Stock						1,145.9543	I	
Common Stock						397.839	I	
							Trust ⁽¹⁾	

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

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

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FORM 4 (continued) 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 & 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 & 4)		8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
Option (Right to Buy)	.8615							Immed.	None	Common Stock	3,680		3,680	D	
Option (Right to Buy)	7.25	2/5/2003				100		Immed.	1/10/05	Common Stock	100		4,153	D	
Option (Right to Buy)	14.50							Immed.	1/03/07	Common Stock	4,000		4,000	D	
Option (Right to Buy)	20.50							Immed.	1/8/08	Common Stock	2,000		2,000	D	
Option (Right to Buy)	23.9375							Immed.	1/12/09	Common Stock	10,200		10,200	D	
Option (Right to Buy)	21.00							Immed.	1/07/10	Common Stock	11,500		11,500	D	
Option (Right to Buy)	20.63							Immed.	12/21/10	Common Stock	16,000		16,000	D	
Option (Right to Buy)	33.60							Immed.	12/27/11	Common Stock	12,000		12,000	D	
Option (Right to Buy)	39.10							6/17/02	12/17/12	Common Stock	9,300		9,300	D	

Explanation of Responses:

(1) Shares held in the deferred comp plan

By: /s/ David H. Brooks

2/5/2003

Date

**Signature of Reporting Person

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

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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