

FINANCIAL INSTITUTIONS INC

Form 3

June 08, 2016

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104

Expires: January 31, 2005

Estimated average burden hours per response... 0.5

INITIAL STATEMENT OF 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 *

Case David G

(Last) (First) (Middle)

220 LIBERTY STREET

(Street)

WARSAW, NY 14569

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

06/03/2016

3. Issuer Name and Ticker or Trading Symbol

FINANCIAL INSTITUTIONS INC [FISI]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

Senior Vice President

5. 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 Beneficially Owned**

1. Title of Security (Instr. 4)

2. Amount of Securities Beneficially Owned (Instr. 4)

3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)

4. Nature of Indirect Beneficial Ownership (Instr. 5)

Common Stock

2,809

D

A

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

SEC 1473 (7-02)

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.

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

1. Title of Derivative Security (Instr. 4)

2. Date Exercisable and Expiration Date (Month/Day/Year)

Date Exercisable Expiration Date

3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)

Title Amount or Number of

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security: Direct (D) or Indirect

6. Nature of Indirect Beneficial Ownership (Instr. 5)

Edgar Filing: FINANCIAL INSTITUTIONS INC - Form 3

				Shares		(I) (Instr. 5)	
Stock Option (right to buy)	07/26/2007 ⁽¹⁾	07/26/2016	Common Stock	1,200	\$ 19.75	D	Â
Stock Option (right to buy)	07/25/2008 ⁽²⁾	07/25/2017	Common Stock	1,200	\$ 19.41	D	Â
Restricted Stock Unit	02/24/2019	02/24/2019	Common Stock	800	\$ ⁽³⁾	D	Â
Stock Option (right to buy)	07/07/2009 ⁽⁴⁾	07/07/2018	Common Stock	1,200	\$ 15.85	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Case David G 220 LIBERTY STREET WARSAW, NY 14569	Â	Â	Â Senior Vice President	Â

Signatures

/s/ Michael D. Grover, by power of attorney 06/08/2016

__Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(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) Option vested in four equal annual installments beginning on July 26, 2007.

(2) Option vested in four equal annual installments beginning on July 25, 2008.

(3) Each restricted stock unit represents a contingent right to receive one share of FISD common stock.

(4) Option vested in four equal annual installments beginning on July 7, 2009.

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

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