

NICHOLAS FINANCIAL INC  
Form 4  
July 20, 2016

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
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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 \*  
Bates Kevin Dean

2. Issuer Name and Ticker or Trading Symbol  
NICHOLAS FINANCIAL INC  
[NICK]

5. Relationship of Reporting Person(s) to Issuer  
  
(Check all applicable)

(Last) (First) (Middle)  
2454 MCMULLEN BOOTH DRIVE, BLDG C  
  
(Street)

3. Date of Earliest Transaction (Month/Day/Year)  
07/12/2016

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
Senior VP Branch Operations

CLEARWATER, FL 33759

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

(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 Ownership (Instr. 4)
				(A) or (D)	Price		
				Code	V	Amount	
Common Stock	07/12/2016		A	6,367	A	\$ 0	31,067 D

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

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SEC 1474 (9-02)

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

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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. 3)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option (right to buy)	\$ 8.21 <sup>(1)</sup>					<sup>(2)</sup>	05/08/2017	Common Stock	5,500
Stock Option (right to buy)	\$ 3.6 <sup>(1)</sup>					<sup>(3)</sup>	03/19/2018	Common Stock	3,300
Stock Option (right to buy)	\$ 0.77 <sup>(1)</sup>					<sup>(4)</sup>	11/06/2018	Common Stock	5,500
Stock Option (right to buy)	\$ 1.2 <sup>(1)</sup>					<sup>(5)</sup>	05/05/2019	Common Stock	5,500
Stock Option (right to buy)	\$ 10.96 <sup>(1)</sup>					<sup>(6)</sup>	05/09/2021	Common Stock	1,500
Stock Option (right to buy)	\$ 10.87 <sup>(1)</sup>					<sup>(7)</sup>	05/03/2022	Common Stock	10,000
Stock Option (right to buy)	\$ 14.37					<sup>(8)</sup>	06/13/2024	Common Stock	25,000

## Reporting Owners

Reporting Owner Name / Address

Relationships

Director    10% Owner    Officer    Other

Bates Kevin Dean  
2454 MCMULLEN BOOTH DRIVE  
BLDG C  
CLEARWATER, FL 33759

X

Senior VP Branch Operations

## Signatures

/s/ Kevin D.

07/20/2016

Bates

\*\*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) The exercise price has been reduced by \$2.00 per the Equity Plan requirements as a result of the December 2012 special cash dividend.
- (2) The option vested in five equal annual installments beginning on May 8, 2007.
- (3) The option vested in five equal annual installments beginning on March 19, 2008.
- (4) The option vested in five equal annual installments beginning on November 6, 2008.
- (5) The option vested in five equal annual installments beginning on May 5, 2009.
- (6) The option vested in five equal annual installments beginning on May 9, 2011.
- (7) The option vested in five equal annual installments beginning on May 3, 2012.
- (8) The option vested in five equal annual installments beginning on June 13, 2014.

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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