

THEROUX STEPHEN R
Form 4
October 11, 2018

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL
OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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 *
THEROUX STEPHEN R

2. Issuer Name and Ticker or Trading Symbol
BAR HARBOR BANKSHARES [BHB]

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

(Last) (First) (Middle)
C/O BAR HARBOR BANKSHARES, 82 MAIN STREET, P.O. BOX 400

3. Date of Earliest Transaction (Month/Day/Year)
03/09/2017

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

(Street)
BAR HARBOR, ME 03257

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 Indirect Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | | (A) or (D) | Price | | |
| Common Stock | 03/30/2017 | | G | V | 34,201 <u>(1)</u> | D | \$ 0 667 D |
| Common Stock | 03/30/2017 | | G | | 17,101 <u>(2)</u> | A | \$ 0 17,101 I Stephen Theroux Revocable Trust |
| Common Stock | 04/19/2017 | | S | | 1 <u>(3)</u> | D | \$ 32.53 17,100 I Stephen Theroux Revocable Trust |

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| | | | | | | | | |
|--------------|------------|---|------------------------|---|----------|------------|---|----------------------------------|
| Common Stock | 03/09/2017 | S | 500 ⁽³⁾ | D | \$ 29.4 | 33,621 | I | By Supp Retirement Plan |
| Common Stock | 06/14/2017 | P | 105.5 ⁽⁴⁾ | A | \$ 28.84 | 15,808.203 | I | By 401(k) Plan |
| Common Stock | 09/14/2018 | P | 110.387 ⁽⁴⁾ | A | \$ 29.01 | 15,918.59 | I | By 401(k) Plan |
| Common Stock | 03/30/2017 | A | 17,100 ⁽⁵⁾ | A | \$ 0 | 24,844 | I | Margaret Theroux Revocable Trust |

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. Number of Derivative Securities Owned Following Reporting Transaction (Instr. 6) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| THEROUX STEPHEN R C/O BAR HARBOR BANKSHARES 82 MAIN STREET, P.O. BOX 400 BAR HARBOR, ME 03257 | X | | | |

Signatures

/s/David S. Cohen,
Attorney-in-fact

10/11/2018

__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) Transfer of shares from joint ownership
 - (2) Transfer of joint shares into Stephen R. Theroux Revocable Trust (Margaret Theroux beneficiary)
 - (3) Sale of shares from Supplemental Retirement Account for future benefit of Stephen Theroux
 - (4) Report of transaction to update shares acquired through dividend reinvestment within 401K
 - (5) Transfer of joint shares into Margaret K. Theroux Revocable Trust (Stephen Theroux beneficiary)

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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