

Seneca Foods Corp
Form 4
January 04, 2017

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

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
KAYSER KRAIG H

(Last) (First) (Middle)

3736 SOUTH MAIN STREET

(Street)

MARION, NY 14505

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
Seneca Foods Corp [SENEB]

3. Date of Earliest Transaction
(Month/Day/Year)
01/03/2017

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

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

President and CEO

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 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)
Seneca Foods Class A Common					65,628	D	
Seneca Foods Class A Common	01/03/2017		J ⁽¹⁾	70,343 D <u>(1)</u>	1,900	I	By Trusts
Seneca Foods Class A Common					3,325	I	By 401-K Plan

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Seneca Foods Class B Common						99,832	D	
Seneca Foods Class B Common	01/03/2017	J ⁽¹⁾	73,056	D	<u>1</u>	1,900	I	By Trusts
Seneca Foods Class B Common						567	I	By 401-K Plan
Seneca Foods Class A Series A Preferred						32,168	D	
Seneca Foods Class A Series A Preferred	01/03/2017	J ⁽¹⁾	141,644	D	<u>1</u>	0	I	By Trusts
Seneca Foods Class A Series B Preferred	01/03/2017	J ⁽¹⁾	165,080	D	<u>1</u>	0	I	By Trusts
Seneca Foods 6% Preferred						8,000	D	

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)	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 Beneficially (Instr. 5)
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(Instr. 3,
4, and 5)

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Code V (A) (D)				

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
KAYSER KRAIG H 3736 SOUTH MAIN STREET MARION, NY 14505	X	X	President and CEO	

Signatures

Kraig H. Kayser	01/04/2017
<u> </u> 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) Held by two trusts of which the Reporting Person is the co-trustee in which he and members of his family are beneficiaries. The trustees caused one of the trusts to distribute 70,343 shares of Class A Common, 73,056 shares of Class B Common, 141,644 shares of Class A Series A Preferred and 165,080 shares of Class A Series B Preferred to the primary beneficiary on January 3, 2017. The reporting person disclaims beneficial ownership of the shares held by the remaining trust except to the extent of his pecuniary interest in the shares.

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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