

RGC RESOURCES INC
Form 4
October 05, 2016

FORM 4

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

OMB APPROVAL

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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 *
AGEE NANCY H

2. Issuer Name and Ticker or Trading Symbol
RGC RESOURCES INC [RGC0]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
PO BOX 13727

(Street)

3. Date of Earliest Transaction (Month/Day/Year)
09/09/2016

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

ROANOKE, VA 24036

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 Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V | Amount | (A) or (D) | Price |
| Common Stock | 09/09/2016 | | P ⁽¹⁾ | | 1,000 | A | \$ 23.5175 |
| | | | | | | | 15,161.066 ⁽²⁾ |
| Common Stock | 09/09/2016 | | P ⁽³⁾ | | 575 | A | \$ 23.5174 |
| | | | | | | | 15,736.066 ⁽⁴⁾ |
| Common Stock | 10/03/2016 | | A ⁽⁵⁾ | | 61.475 | A | \$ 24.4 |
| | | | | | | | 15,797.541 ⁽⁶⁾ |
| Common Stock | 10/03/2016 | | P ⁽⁷⁾ | | 36.885 | A | \$ 24.4 |
| | | | | | | | 15,834.426 ⁽⁸⁾ |

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

SEC 1474 (9-02)

required to respond unless the form displays a currently valid OMB control number.

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 Transaction (Instr. 5) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| AGEE NANCY H PO BOX 13727 ROANOKE, VA 24036 | | X | | |

Signatures

Nancy H. Agee by Howard T. Lyon, POA dated 01/14/2005 10/05/2016

**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) Shares purchased by insider.
- (2) Reporting person has 1,000 shares in her name and 11,858.431 shares in a revocable trust for which she serves as trustee. Also includes 2,302.635 shares in a revocable trust for which the spouse serves as trustee.
- (3) Shares purchased by insider.
- (4) Reporting person has 1,575 shares in her name and 11,858.431 shares in a revocable trust for which she serves as trustee. Also includes 2,302.635 shares in a revocable trust for which the spouse serves as trustee.
- (5) Shares issued to reporting person pursuant to an election under the Restricted Stock Plan for Outside Directors of RGC Resources, Inc.
- (6) Reporting person has 1,575 shares in her name and 11,919.906 shares in a revocable trust for which she serves as trustee. Also includes 2,302.635 shares in a revocable trust for which the spouse serves as trustee.
- (7)

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Purchases made with optional cash contributions pursuant to the RGC Resources, Inc. Dividend Reinvestment and Stock Purchase Plan by revocable trust for which spouse of reporting person serves as trustee.

- (8) Reporting person has 1,575 shares in her name and 11,919.906 shares in a revocable trust for which she serves as trustee. Also includes 2,342.520 shares in a revocable trust for which the spouse serves as trustee.

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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