Edgar Filing: SECURITY NATIONAL FINANCIAL CORP - Form 4

SECURITY NATIONAL FINANCIAL CORP

Form 4 July 02, 2013

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB Number:

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obligations

Check this box

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 may continue. See Instruction

30(h) of the Investment Company Act of 1940

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person * Wilbur Norman G

2. Issuer Name and Ticker or Trading

Issuer

Symbol

SECURITY NATIONAL FINANCIAL CORP [SNFCA]

(Check all applicable)

5. Relationship of Reporting Person(s) to

(Last)

(First) (Middle) 3. Date of Earliest Transaction

_X__ Director Officer (give title below)

10% Owner Other (specify

11825 LAMPWICK LANE

(Street)

(State)

06/27/2013

06/27/2013

(Month/Day/Year)

4. If Amendment, Date Original

Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Applicable Line)

X Form filed by One Reporting Person Form filed by More than One Reporting

Person

FRISCO, TX 75035

(City)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 2. Transaction Date 2A. Deemed 1.Title of Security (Month/Day/Year) Execution Date, if (Instr. 3) (Month/Day/Year)

(Zip)

3. 4. Securities Acquired 5. Amount of Transaction(A) or Disposed of Code (D) (Instr. 8) (Instr. 3, 4 and 5)

6. Ownership 7. Nature of Securities Form: Direct Indirect Beneficially (D) or Indirect (I) Owned Following (Instr. 4) Reported

D

(A) or

D

Transaction(s) (Instr. 3 and 4)

Code V Amount (D) Price

3.000

9,238

Class A Common

Stock

S

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

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SEC 1474 (9-02)

Beneficial

Ownership

(Instr. 4)

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. Transactio Code (Instr. 8)	5. Number tion 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)	
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Director Stock Option (right to buy)	\$ 3.76 (1)	12/07/2006		A	1,408 (1)		12/07/2007	12/07/2016	Class A Common Stock	1,408 (1)
Director Stock Option (right to buy)	\$ 2.79 (2)	12/07/2007		A	1,341 (2)		12/07/2008	12/07/2017	Class A Common Stock	1,341 (2)
Director Stock Option (right to buy)	\$ 3.01 (3)	03/31/2008		A	3,191 (3)		03/31/2009	03/31/2018	Class A Common Stock	3,191 (3)
Director Stock Option (right to buy)	\$ 2.89 (4)	12/04/2009		A	6,078 (4)		03/04/2010	12/04/2019	Class A Common Stock	6,078 (4)
Director Stock Option (right to buy)	\$ 2.89 (5)	12/07/2009		A	1,216 (5)		03/07/2010	12/07/2019	Class A Common Stock	1,216 (5)
Director Stock Option (right to buy)	\$ 1.58 <u>(6)</u>	12/03/2010		A	5,789 (6)		03/03/2011	12/03/2020	Class A Common Stock	5,789 (<u>6)</u>
Director Stock Option (right to buy)	\$ 1.48 <u>(7)</u>	04/13/2012		A	5,250 (7)		07/13/2012(7)	04/13/2022	Class A Common Stock	5,250 (7)

Director Stock

(right to

buy)

Option \$ 7.05 (8) 12/07/2012

1,050 Α (8)

03/07/2013⁽⁸⁾ 12/07/2022 Common

Class A 1,050 Stock

(8)

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Wilbur Norman G 11825 LAMPWICK LANE X **FRISCO, TX 75035**

Signatures

/s/ Norman G.

Reporting Person

Wilbur 07/02/2013 **Signature of 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).
- This option was originally reported as an option for 1,000 shares of Class A Common Stock under the 2006 Director Stock Option Plan at an exercise price of \$5.31 per share, but adjusted pursuant to the anti-dilution provisions of the 2006 Stock Option Plan to reflect 5% stock dividends paid on February 9, 2007, February 8, 2008, February 6, 2009, February 5, 2010, February 4, 2011, February 3, 2012 and February 1, 2013.
- This option was originally reported as an option for 1,000 shares of Class A Common Stock under the 2006 Director Stock Option Plan at (2) an exercise price of \$3.75 per share, but adjusted pursuant to the anti-dilution provisions of the 2006 Stock Option Plan to reflect 5% stock dividends paid on February 8, 2008, February 6, 2009, February 5, 2010, February 4, 2011, February 3, 2012 and February 1, 2013.
- This option was originally reported as an option for 2,500 shares of Class A Common Stock under the 2006 Director Stock Option Plan at (3) an exercise price of \$3.85 per share, but adjusted pursuant to the anti-dilution provisions of the 2006 Stock Option Plan to reflect 5% stock dividends paid on February 6, 2009, February 5, 2010, February 4, 2011 and February 3, 2012.
- This option was originally reported as an option for 5,000 shares of Class A Common Stock under the 2006 Director Stock Option Plan at (4) an exercise price of \$3.52 per share, but adjusted pursuant to the anti-dilution provisions of the 2006 Stock Option Plan to reflect 5% stock dividends paid on February 5, 2010, February 4, 2011, February 3, 2012 and February 1, 2013.
- This option was originally reported as an option for 1,000 shares of Class A Common Stock under the 2006 Director Stock Option Plan at (5) an exercise price of \$3.52 per share, but adjusted pursuant to the anti-dilution provisions of the 2006 Stock Option Plan to reflect 5% stock dividends paid on February 5, 2010, February 4, 2011, February 3, 2012 and February 1, 2013.
- This option was originally reported as an option for 5,000 shares of Class A Common Stock under the 2006 Director Stock Option Plan at an exercise price of \$1.83 per share, but adjusted pursuant to the anti-dilution provisions of the 2006 Stock Option Plan to reflect 5% stock dividends paid on February 4, 2011, February 3, 2012 and February 1, 2013.
- This option was granted on April 13, 2012 as an option for 5,000 shares of Class A Common Stock under the 2006 Director Stock Option Plan at an exercise price of \$1.56 per share but adjusted pursuant to the anti-dilution provisions of the 2006 plan to reflect a 5% stock dividend paid on February 1, 2013. This option vests in four equal quarterly installments of Class A Common Stock over a one year period, beginning on July 13, 2012, until such shares are fully vested.
- This option was granted on December 7, 2012 as an option for 1,000 shares of Class A Common Stock under the 2006 Director Stock Option Plan at an exercise price of \$7.42 per share but adjusted pursuant to the anti-dilution provisions of the 2006 plan to reflect a 5% stock dividend paid on February 1, 2013. This option vests in four equal quarterly installments of Class A Common Stock over a one year period, beginning on March 7, 2013, until such shares are fully vested.

Reporting Owners 3

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