

TRUSTCO BANK CORP N Y  
Form 4  
November 23, 2016

**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 \*  
SCHRECK ERIC W

2. Issuer Name and Ticker or Trading Symbol  
TRUSTCO BANK CORP N Y  
[TRST]

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

(Last) (First) (Middle)  
C/O TRUSTCO BANK CORP NY, 5  
SARNOWSKI DRIVE  
  
(Street)

3. Date of Earliest Transaction  
(Month/Day/Year)  
11/21/2016

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

GLENVILLE, NY 12302

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)
				V	Amount (A) or Price (D)			
COMMON STOCK	11/21/2016		M	3,000	A \$ 5.14	86,878	D	
COMMON STOCK	11/21/2016		M	1,700	A \$ 5.17	88,578	D	
COMMON STOCK	11/21/2016		M	1,450	A \$ 6.43	90,028	D	
COMMON STOCK	11/21/2016		F	4,115	D \$ 8.15	85,913	D	
COMMON STOCK						772	I	BY WIFE

Edgar Filing: TRUSTCO BANK CORP N Y - Form 4

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)	Amount or Number of Shares
OPTION: RT-TO-BUY	\$ 5.14	11/21/2016		M	3,000	<sup>(1)</sup> 11/15/2021	COMMON STOCK	3,000
OPTION: RT-TO-BUY	\$ 5.17	11/21/2016		M	1,700	<sup>(2)</sup> 11/20/2022	COMMON STOCK	1,700
OPTION: RT-TO-BUY	\$ 6.43	11/21/2016		M	1,450	<sup>(3)</sup> 11/17/2025	COMMON STOCK	1,450

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
SCHRECK ERIC W C/O TRUSTCO BANK CORP NY 5 SARNOWSKI DRIVE GLENVILLE, NY 12302			Treasurer	

## Signatures

/S/ MICHAEL M. OZIMEK, BY POWER OF ATTORNEY  
11/23/2016

\_\_\_\_\_  
\*\*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) Award vests in equal installments from the first through fifth year following the award date, beginning November 15, 2012.

Edgar Filing: TRUSTCO BANK CORP N Y - Form 4

(2) Award vests in equal installments from the first through fifth year following the award date, beginning November 20, 2013.

(3) Award vests in equal installments from the first through fifth year following the award date, beginning November 17, 2016.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.