Caywood Marty T. Form 3 April 01, 2019

### FORM 3

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

OMB APPROVAL

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INITIAL STATEMENT OF 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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement HomeTrust Bancshares, Inc. [HTBI] A Caywood Marty T. (Month/Day/Year) 04/01/2019 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) HOMETRUST BANCSHARES, (Check all applicable) INC., 10 WOODFIN STREET (Street) 6. Individual or Joint/Group 10% Owner Director \_X\_\_ Officer Other Filing(Check Applicable Line) (give title below) (specify below) \_X\_ Form filed by One Reporting EVP, Chief Information Officer Person ASHEVILLE, NCÂ 28801 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 4. Nature of Indirect Beneficial 1. Title of Security 2. Amount of Securities Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Â Common Stock D 5,853 (1) Common Stock I By KSOP 21,357 Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

currently valid OMB control number.

| 1. Title of Derivative Security (Instr. 4) | 2. Date Exercisable and Expiration Date (Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security | 4. Conversion or Exercise | 5.<br>Ownership<br>Form of | 6. Nature of Indirect<br>Beneficial Ownership<br>(Instr. 5) |
|--|--|--|---------------------------|----------------------------|---|
|  |  | (Instr. 4)   | Price of                  | Derivative                 |   |

#### Edgar Filing: Caywood Marty T. - Form 3

|               | Date<br>Exercisable | Expiration<br>Date | Title           | Amount or<br>Number of<br>Shares | Derivative<br>Security | Security:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 5) |   |
|---------------|---------------------|--------------------|-----------------|----------------------------------|------------------------|---|---|
| Stock Options | (2)                 | 02/11/2023         | Common<br>Stock | 12,000                           | \$ 14.37               | D   | Â |
| Stock Option  | (3)                 | 02/11/2028         | Common<br>Stock | 10,000                           | \$ 26                  | D   | Â |
| Stock Option  | (4)                 | 02/11/2029         | Common<br>Stock | 15,000                           | \$ 27.51               | D   | Â |

### **Reporting Owners**

| Reporting Owner Name / Address   | Relationships |           |                                      |       |  |
|--|---------------|-----------|--------------------------------------|-------|--|
| <b>FB</b> = 1 1  | Director      | 10% Owner | Officer                              | Other |  |
| Caywood Marty T. HOMETRUST BANCSHARES, INC. 10 WOODFIN STREET ASHEVILLEÂ NCÂ 28801 | Â             | Â         | EVP, Chief<br>Information<br>Officer | Â     |  |

#### **Signatures**

/s/ Tony J. VunCannon, Attorney-in-Fact for Marty T.
Caywood

04/01/2019

\*\*Signature of Reporting Person Date

## **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, *see* Instruction 5(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) Includes 5,350 unvested shares of restricted stock.
- (2) Represents unexercised portion of stock option granted under Issuer's 2013 Omnibus Incentive Plan, which vested as to 4,000 shares on February 11, 2018 and 4,000 shares on February 11, 2019 and is scheduled to vest as to 4,000 shares on February 11, 2020.
- (3) Represents stock option granted under Issuer's 2013 Omnibus Incentive Plan with the following vesting schedule: 20% increments on Februiary 11, 2019, 2020, 2021, 2022 and 2023.
- (4) Represents stock option granted under Issuer's 2013 Omnibus Incentive Plan with the following vesting schedule: 20% increments on February 11, 2020, 2021, 2022, 2023 and 2024.

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#### **Remarks:**

Exhibit 24 -- Power of Attorney of Marty T. Caywood

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.

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