SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934

			01 00			npany / lot 01 1040						
1. Name and Address of Reporting Person* FRAZIER RANDALL H				uer Name and Tick FICAL CABI	0	,	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director 10% Owner					
(Last) 5290 CONCO	(First) URSE DRIVE	– (Middle)		e of Earliest Transa 4/2020	action (Month/	Day/Year)	X	Director Officer (give title below)		(specify		
(Street) ROANOKE (City)	VA (State)	24019 (Zip)	4. If A	mendment, Date o	f Original Filed	l (Month/Day/Year)	6. Indiv Line) X	ridual or Joint/Grou Form filed by On Form filed by Mo Person	e Reporting Per	rson		
		Table I - Nor	n-Derivative S	ecurities Acq	uired, Dis	posed of, or Bene	ficially	Owned				
			2. Transaction Date	2A. Deemed Execution Date,	3. Transaction	4. Securities Acquired (A Disposed Of (D) (Instr. 3		5. Amount of Securities	6. Ownership Form: Direct	7. Nature of Indirect		

	(Month/Day/Year)	if any (Month/Day/Year)	Code (8)		5)				(D) or Indirect (I) (Instr. 4)	Beneficial Ownership (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150.4)
Common Stock	05/14/2020		Α		11,776 ⁽¹⁾	Α	\$ <mark>0</mark>	70,247	D	

 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. Transa Code (8)		of		6. Date Exerc Expiration Da (Month/Day/Y	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

Explanation of Responses:

1. Directors of the Company receive stock and cash as compensation for their services to the Company. Director received an award of 11,776 common shares issued under the Optical Cable Corporation 2017 Stock Incentive Plan for the stock portion of the annual retainer for the 2020-2021 board year. The 11,776 common shares are subject to complete forfeiture until they fully vest on May 15, 2021.

<u>/s/ Randall H. Frazier</u>

** Signature of Reporting Person Date

05/18/2020

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

* 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).

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

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 Number.

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).