

TRUSTCO BANK CORP N Y
Form 3
March 06, 2017

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL
OMB Number: 3235-0104
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

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)

<p>1. Name and Address of Reporting Person *</p> <p>Â CURLEY KEVIN M</p> <p>(Last) (First) (Middle)</p> <p>C/O TRUSTCO BANK CORP NY, Â 5 SARNOWSKI DRIVE</p> <p>(Street)</p> <p>GLENVILLE, Â NY Â 12302</p> <p>(City) (State) (Zip)</p>	<p>2. Date of Event Requiring Statement</p> <p>(Month/Day/Year)</p> <p>02/21/2017</p>	<p>3. Issuer Name and Ticker or Trading Symbol</p> <p>TRUSTCO BANK CORP N Y [TRST]</p>	<p>4. Relationship of Reporting Person(s) to Issuer</p> <p>(Check all applicable)</p> <p><input type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other (give title below) (specify below) SENIOR VICE PRESIDENT</p>	<p>5. If Amendment, Date Original Filed(Month/Day/Year)</p>	<p>6. Individual or Joint/Group Filing(Check Applicable Line)</p> <p><input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person</p>
---	---	--	---	---	---

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)	2. Amount of Securities Beneficially Owned (Instr. 4)	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nature of Indirect Beneficial Ownership (Instr. 5)
COMMON STOCK	73,024	D	Â
COMMON STOCK	764	I	WIFE

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. SEC 1473 (7-02)

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.

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

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 (Instr. 4)	4. Conversion or Exercise Price of	5. Ownership Form of Derivative	6. Nature of Indirect Beneficial Ownership
---	---	--	------------------------------------	---------------------------------	--

Edgar Filing: TRUSTCO BANK CORP N Y - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	Security: Direct (D) or Indirect (I) (Instr. 5)	(Instr. 5)
OPTIONS:RT-TO-BUY	06/01/2007	06/01/2017	COMMON STOCK	7,500	\$ 9.91	D	Â
OPTIONS:RT-TO-BUY	06/02/2008	06/02/2018	COMMON STOCK	10,000	\$ 8.29	D	Â
OPTIONS:RT-TO-BUY	11/15/2011	11/15/2021	COMMON STOCK	7,500	\$ 5.14	D	Â
OPTIONS:RT-TO-BUY	11/20/2012	11/20/2022	COMMON STOCK	8,500	\$ 5.17	D	Â
OPTIONS:RT-TO-BUY	11/19/2013	11/19/2023	COMMON STOCK	11,000	\$ 7.05	D	Â
OPTIONS:RT-TO-BUY	11/18/2014	11/18/2024	COMMON STOCK	7,250	\$ 7.22	D	Â
OPTIONS:RT-TO-BUY	11/17/2015	11/17/2025	COMMON STOCK	7,250	\$ 6.43	D	Â
RESTRICTED STOCK UNITS	Â <u>(1)</u>	Â <u>(1)</u>	COMMON STOCK	2,250	\$ 0	D	Â
RESTRICTED STOCK UNITS	Â <u>(2)</u>	Â <u>(2)</u>	COMMON STOCK	2,500	\$ 0	D	Â
RESTRICTED STOCK UNITS	Â <u>(3)</u>	Â <u>(3)</u>	COMMON STOCK	2,600	\$ 0	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
CURLEY KEVIN M C/O TRUSTCO BANK CORP NY 5 SARNOWSKI DRIVE GLENVILLE, NY 12302	Â	Â	Â SENIOR VICE PRESIDENT	Â

Signatures

/S/ MICHAEL M. OZIMEK, BY POWER OF ATTORNEY

03/06/2017

__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) The restricted stock units "vest" in whole on November 18, 2017. Settlement of the restricted stock units will be made in cash only.

Edgar Filing: TRUSTCO BANK CORP N Y - Form 3

- (2) The restricted stock units "vest" in whole on November 17, 2018. Settlement of the restricted stock units will be made in cash only.
- (3) The restricted stock units "vest" in whole on November 15, 2019. Settlement of the restricted stock units will be made in cash only.

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.