

GUARANTY FEDERAL BANCSHARES INC

Form 4

April 11, 2014

FORM 4**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

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

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
HELLWEG KURT D

2. Issuer Name **and** Ticker or Trading
Symbol
GUARANTY FEDERAL
BANCSHARES INC [GFED]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

4083 EAGLESCLIFFE

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
09/14/2011

☒ Director ☐ 10% Owner
☐ Officer (give title below) ☐ Other (specify below)

SPRINGFIELD, MO 65809

(City) (State) (Zip)

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

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. 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)
COMMON STOCK	09/14/2011		P	V Amount (A) or (D) Price 751 A \$ 4.5	33,137	I	SELF TRUST
COMMON STOCK	09/16/2011		P	96 A \$ 4.5	33,233	I	SELF TRUST
COMMON STOCK	09/21/2011		P	1,200 A \$ 4.5	34,433	I	SELF TRUST
COMMON STOCK	09/26/2011		P	172 A \$ 4.5	34,605	I	SELF TRUST
COMMON STOCK	09/29/2011		P	43 A \$ 4.5	34,648	I	SELF TRUST

Edgar Filing: GUARANTY FEDERAL BANCSHARES INC - Form 4

COMMON STOCK	09/30/2011	P	1,738	A	\$ 4.5	36,386	I	SELF TRUST
COMMON STOCK						8,112 ⁽¹⁾	I	RESTRICTED
COMMON STOCK						35,000 ⁽²⁾	D	
COMMON STOCK						3,086 ⁽³⁾	I	DRIP

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)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
HELLWEG KURT D 4083 EAGLESCLIFFE SPRINGFIELD, MO 65809	X

Signatures

KURT D.
HELLWEG 04/11/2014

**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).

The total of restricted common stock (8,112) takes into account the number of shares owned in September 2011 of 2,119 and Form 4 filed January 2012 for 2,315 shares, Form 4 filed January 2013 for 2,072 shares and Form 4 filed February 2014 for 1,606 shares for a total of 8,112 shares.

(2) The total number of shares of common stock owned directly was purchased in March 2014 and shown on Form 4 filed March 2014.

(3) The total number of shares of common stock owned by Mr. Hellweg through his Dividend Reinvestment Plan account which has not changed since September 30, 2011.

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.