Bankwell Financial Group, Inc.

Form 3/A May 19, 2014

# FORM 3 UNITED STAT

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 Bankwell Financial Group, Inc. [BWFG] Dale Eric J (Month/Day/Year) 05/14/2014 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) C/O BANKWELL FINANCIAL 05/14/2014 (Check all applicable) GROUP, INC., 220 ELM STREET 10% Owner \_X\_ Director (Street) Officer Other 6. Individual or Joint/Group (give title below) (specify below) Filing(Check Applicable Line) \_X\_ Form filed by One Reporting Person NEW CANAAN. CTÂ 06840 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 1. Title of Security 2. Amount of Securities 3. 4. Nature of Indirect Beneficial Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Â Common Stock 11,644 D Â Common Stock (1) 1,200 D Common Stock (2) 1,739 I Deferred Compensatin Plan 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.

#### Edgar Filing: Bankwell Financial Group, Inc. - Form 3/A

1. Title of Derivative Security (Instr. 4)

**Expiration Date** (Month/Day/Year)

2. Date Exercisable and 3. Title and Amount of Securities Underlying **Derivative Security** (Instr. 4)

Conversion or Exercise Price of Derivative Security

6. Nature of Indirect Ownership Beneficial Ownership Form of (Instr. 5)

Date Exercisable

**Expiration Title** Date

Amount or Number of Shares

or Indirect (I) (Instr. 5)

Derivative

Security:

Direct (D)

5.

### **Reporting Owners**

Reporting Owner Name / Address

**Relationships** 

Director 10% Owner Officer Other

Dale Eric J

C/O BANKWELL FINANCIAL GROUP, INC. 220 ELM STREET

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NEW CANAAN, CTÂ 06840

## **Signatures**

/s/ Eric J. Dale by POA

05/19/2014

\*\*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).
- 1,200 shares of restricted stock granted pursuant to the 2012 BNC Financial Group, Inc. Stock Plan and will vest in four equal annual (1) installments of 25%, with the first installment to vest on November 5, 2014 and an additional 25% to vest on each annual anniversary of the grant date thereafter.
- 1,739 shares were inadvertently reported as being owned as Direct. These shares are held Indirectly in the Issuer's Deferred **(2)** Compensation Plan for Directors.

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.

Reporting Owners 2