

TRICO BANCSHARES /  
Form 4/A  
June 09, 2016

# FORM 4

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
BAILEY DANIEL K

(Last) (First) (Middle)

63 CONSTITUTION DRIVE

(Street)

CHICO, CA 95973

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol

TRICO BANCSHARES / [TCBK]

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

05/19/2016

4. If Amendment, Date Original  
Filed(Month/Day/Year)

05/23/2016

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)

EVP/Retail Banking

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. Transaction 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 Ownership (Instr. 4) |          |   |         |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|----------|---|---------|
|                                 |                                      |  | Code                           | V   | Amount  | (A) or (D)   | Price                             |          |   |         |
| Common Stock                    | 06/09/2016                           |  | J(1)(2)                        |   | 0   | A  | \$ 0                              | 12,004.8 | D |         |
| Common Stock                    | 06/09/2016                           |  | J(1)(2)                        |   | 0   | A  | \$ 0                              | 6,345.82 | I | By ESOP |

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

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(9-02)

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**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) | Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|
| Restricted Stock Units                     | \$ 0 <u>(1)</u> <u>(3)</u>                             | 05/19/2016                           |  | A                              | 1,544   | <u>(3)</u> 05/19/2020                                    | Common Stock  | 1,544                      |
| Restricted Stock Units                     | \$ 0 <u>(1)</u> <u>(4)</u>                             | 05/19/2016                           |  | A                              | 1,081   | <u>(4)</u> 05/18/2017                                    | Common Stock  | 1,081                      |
| Performance Stock Units                    | \$ 0 <u>(1)</u> <u>(5)</u>                             | 05/19/2016                           |  | A                              | 1,544   | <u>(5)</u> 05/18/2019                                    | Common Stock  | 1,544                      |

## Reporting Owners

| Reporting Owner Name / Address                              | Relationships |           |                    |       |
|---|---------------|-----------|--------------------|-------|
|   | Director      | 10% Owner | Officer            | Other |
| BAILEY DANIEL K<br>63 CONSTITUTION DRIVE<br>CHICO, CA 95973 |               |           | EVP/Retail Banking |       |

## Signatures

/S/ Daniel Bailey By Ryan Bryson  
Attorney-in-Fact  
Date: 06/09/2016

\*\*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).
- (1) This amended form is filed solely to report the previously reported grants of Restricted and Performance Stock Units in Table II rather than Table I and to correct the total beneficial ownership of common stock reported in Table I.
- (2) No transactions occurred among these shares. Intended only to reflect number of shares beneficially owned.
- (3) Represents the grant of Restricted Stock Units. The shares vest as follows: 25% on May 19 2017, 25% on May 19, 2018, 25% on May 19, 2019, and 25% on May 19, 2020.
- (4) Represents the grant of Restricted Stock Units. 100% of the shares vest on 05/18/2017.
- (5) Represents performance-based restricted stock units (PSUs) that will vest between 0% and 150% of the target number of shares (the number of shares listed in box 4) on May 18, 2019 based on the Issuers total stockholder return relative to the KBW Regional Banking Index. The PSUs were issued to the Reporting Person pursuant to the Issuers 2009 Equity Incentive Plan and Performance Award

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Agreement and are subject to forfeitures, accelerated vesting and other restrictions as set forth in the plan and the agreement.

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

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