

Lee Kirk L.
Form 4
March 13, 2018

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

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(Print or Type Responses)

1. Name and Address of Reporting Person *
Lee Kirk L.

2. Issuer Name **and** Ticker or Trading
Symbol

GUARANTY BANCSHARES INC
/TX/ [GNTY]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

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

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

201 SOUTH JEFFERSON AVENUE

03/09/2018

President

(Street)

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

MOUNT PLEASANT, TX 75455

(City) (State) (Zip)

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 Indirect Beneficial Ownership (Instr. 4)	
			Code	V	Amount	(A) or (D)	Price	
Common Stock	03/09/2018		S		1,500	D	\$ 35.01	24,378 D <u>(1)</u>
Common Stock	03/09/2018		S		1,300	D	\$ 35.1	23,078 D <u>(1)</u>
Common Stock	03/09/2018		S		899	D	\$ 35.0406	22,179 D <u>(1)</u>
Common Stock	03/09/2018		S		106	D	\$ 35.0447	22,073 D <u>(1)</u>
Common Stock	03/09/2018		S		627	D	\$ 35.0777	21,446 D <u>(1)</u>

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Common Stock	03/12/2018	S	167	D	\$ 35.04	21,279	D ⁽¹⁾	
Common Stock	03/12/2018	S	167	D	\$ 35.04	21,112	D ⁽¹⁾	
Common Stock						64,000	D ⁽²⁾	
Common Stock						95,121	I	By Issuer KSOP

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

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(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. Number of Derivative Securities Beneficially Owned Following Reported Transaction (Instr. 6)
				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
Lee Kirk L. 201 SOUTH JEFFERSON AVENUE MOUNT PLEASANT, TX 75455	X		President	

Signatures

/s/ Randall R. Kucera, as
attorney-in-fact

03/13/2018

**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).

Held through Individual Retirement Account. On March 8, 2018, Kirk Lee transferred 25,878 shares of common stock allocated to his employer stock account in the Issuer's Employee Stock Ownership Plan with 401(k) Provisions ("KSOP") to an individual retirement

(1) account maintained by Guaranty Bank & Trust, N.A. as IRA custodian for Kirk Lee, through a rollover transaction permitted by the terms of the Issuer's KSOP. All sales of common stock reported on this Form 4 relate to sales of shares held through Mr. Lee's individual retirement account.

(2) Shares held jointly by Mr. Lee and his spouse.

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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