#### Edgar Filing: GUARANTY FEDERAL BANCSHARES INC - Form 4

#### **GUARANTY FEDERAL BANCSHARES INC**

Form 4

January 29, 2014

### FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB** Number:

3235-0287

Expires:

January 31, 2005

0.5

Estimated average burden hours per

**OMB APPROVAL** 

response...

subject to Section 16. Form 4 or Form 5 obligations

may continue.

See Instruction

Check this box

if no longer

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* BARHAM JACK L

2. Issuer Name and Ticker or Trading Symbol

Issuer

**GUARANTY FEDERAL** 

**BANCSHARES INC [GFED]** 

(Check all applicable)

5. Relationship of Reporting Person(s) to

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

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

1615 E CAMINO ALTO ST

01/24/2014

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

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

(Middle)

(Zip)

SPRINGFIELD, MO 65804

(State)

(City)

(City)	(State) (2	Table	e I - Non-D	erivative	Secur	ities Acquir	ed, Disposed of,	or Beneficial	ly 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. Securi nor Dispo (Instr. 3,	sed of	` '	5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
go. n. to			Code V	Amount	(D)	Price	(Instr. 3 and 4)		<b>TD</b> 1
COMMON STOCK	01/24/2014		S	400	D	\$ 10.85	0	I	IRA SPOUSE
COMMON STOCK	01/24/2014		S	300	D	\$ 10.8564	0	I	IRA SPOUSE
COMMON STOCK	01/24/2014		S	1,306	D	\$ 10.8501	0	I	IRA SPOUSE
COMMON STOCK	01/24/2014		S	1,726	D	\$ 10.85	0	I	IRA SELF
COMMON STOCK	01/24/2014		S	95	D	\$ 10.86	0	I	IRA SELF

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COMMON STOCK	6,506	I	Restricted
COMMON STOCK	19,812	I	COTTEE SELF
COMMON STOCK	2,276	I	COTTEE SPOUSE
COMMON STOCK	6,671	I	TRUSTEE FOR SELF
COMMON STOCK	6,681	I	TRUSTEE FOR SPOUSE

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

Persons who respond to the collection of SEC 1474 information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(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. Transact Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	<b>.</b>	ate	7. Titl Amou Under Securi (Instr.	nt of lying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Owne 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						
r g	Director	10% Owner	Officer	Other			
BARHAM JACK L 1615 E CAMINO ALTO ST SPRINGFIELD, MO 65804	X						

Reporting Owners 2

## **Signatures**

JACK L. BARHAM

01/29/2014

\*\*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).

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.

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