Edgar Filing: TREATY OAK BANCORP INC - Form 3

TREATY OAK BANCORP INC

Form 3

November 15, 2007

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

OMB APPROVAL

OMB Number:

3235-0104

Expires:

response...

January 31, 2005

0.5

Estimated average burden hours per

SECURITIES Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

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 TREATY OAK BANCORP INC [TOAK] A Clark Thomas G (Month/Day/Year) 11/15/2007 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 101 WESTLAKE DRIVE (Check all applicable) (Street) 6. Individual or Joint/Group Filing(Check Applicable Line) 10% Owner Director _X_ Form filed by One Reporting _X__ Officer Other Person AUSTIN. TXÂ 78746 (give title below) (specify below) Form filed by More than One SVP-Credit Officer Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 2. Amount of Securities 4. Nature of Indirect Beneficial 1. Title of Security (Instr. 4) Beneficially Owned Ownership Ownership (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Prime Vest Financial Services Common Stock I Custodian for Thomas Clark -2,880 **IRA** Â Common Stock 6,367 D 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.

1. Title of Derivative Security 2. Date Exercisable and 3. Title and Amount of 6. Nature of Indirect **Expiration Date** Securities Underlying Ownership Beneficial Ownership (Instr. 4) Conversion (Month/Day/Year) Derivative Security (Instr. 5) or Exercise Form of

Edgar Filing: TREATY OAK BANCORP INC - Form 3

		Expiration Date	(Instr. 4)		Price of	Derivative	
	Date Exercisable		Title	Amount or Number of Shares	Derivative Security	Security: Direct (D) or Indirect (I) (Instr. 5)	
Options to acquire common stock	(1)	05/19/2014	Common Stock	2,500	\$ 8.33	D	Â
Options to acquire common stock	(2)	10/24/2015	Common Stock	3,750	\$ 8.5	D	Â
Options to acquire common stock	(3)	09/25/2016	Common Stock	5,000	\$ 8.75	D	Â
Options to acquire common stock	(4)	09/29/2017	Common Stock	2,000	\$ 10.5	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships					
Troporting of the France of France of	Director	10% Owner	Officer	Other		
Clark Thomas G 101 WESTLAKE DRIVE AUSTIN, TX 78746	Â	Â	SVP-Credit Officer	Â		

Signatures

/s/ Thomas Clark 11/15/2007

**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) one third vests 5/20/05, one third vests 5/20/06, and one third vests 5/20/07
- (2) one third vests 10/25/06, one third vests 10/25/07, and one third vests 10/25/08
- (3) one third vests 9/26/07, one third vests 9/26/08, and one third vests 9/26/09
- (4) one third vests 9/30/08, one third vests 9/30/09, and one third vests 9/30/10

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