

Quick Janet M
Form 4
March 21, 2019

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

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 *
Quick Janet M

2. Issuer Name and Ticker or Trading Symbol
HEARTLAND FINANCIAL USA INC [HTLF]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
1398 CENTRAL AVE
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
03/19/2019

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
EVP, Principal Acctg Officer

DUBUQUE, IA 52001

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

(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 Ownership (Instr. 4)
			Code	V Amount (A) or (D) Price			
Common Stock					11,987	D	
Common Stock	03/19/2019		M	380 A \$ 45.77	12,367	D	
Common Stock					432.009 ⁽¹⁾	I	IRA
Common Stock					265	I	Pension Plan
Common Stock					919 ⁽¹⁾	I	401 (k)

Edgar Filing: Quick Janet M - Form 4

Reminder: Report on a separate line for each class of securities beneficially 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 currently valid OMB control number.

SEC 1474
(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. Amount or Number of Shares
2019 Time-Based Restricted Stock	(2)					(3) (3)	Common Stock	0
2019 Time-Based Restricted Stock	(2)	03/19/2019		A	827	(3) (3)	Common Stock	827
2019 Performance Based Restricted Stock (3-year performance)	(2)					(4) (4)	Common Stock	0
2019 Performance Based Restricted Stock (3-year performance)	(2)	03/19/2019		A	827	(4) (4)	Common Stock	827
2018 Time-Based Restricted Stock	(2)					(5) (5)	Common Stock	287
2018 Performance	(2)					(6) (6)	Common Stock	575

Based Restricted Stock (3-year performance) 2018 Performance Based Restricted Stock (1-year performance)	<u>(2)</u>				<u>(7)</u>	<u>(7)</u>	Common Stock	97	
2017 Time-Based Restricted Stock	<u>(2)</u>				<u>(8)</u>	<u>(8)</u>	Common Stock	217	
2017 Performance Based Restricted Stock (3-year performance)	<u>(2)</u>				<u>(9)</u>	<u>(9)</u>	Common Stock	325	
2017 Performance Based Restricted Stock (1-year performance)	<u>(2)</u>				<u>(10)</u>	<u>(10)</u>	Common Stock	397	
2016 Performance Based Restricted Stock (3-year performance)	<u>(2)</u>				<u>(11)</u>	<u>(11)</u>	Common Stock	380 ⁽¹²⁾	
2016 Performance Based Restricted Stock (3-year performance)	<u>(2)</u>	03/19/2019		M	380	<u>(11)</u>	<u>(11)</u>	Common Stock	0
2015 Time-Based Restricted Stock	<u>(2)</u>				<u>(13)</u>	<u>(13)</u>	Common Stock	217	

Reporting Owners

Reporting Owner Name / Address

Relationships

Edgar Filing: Quick Janet M - Form 4

Director 10% Owner Officer

Other

Quick Janet M
1398 CENTRAL AVE
DUBUQUE, IA 52001

EVP, Principal Acctg Officer

Signatures

/s/ Janet M
Quick

03/21/2019

**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) Based on a plan statement dated October 2016
- (2) Each restricted stock unit represents a contingent right to receive one share of Issuer's common stock.
- (3) Of these restricted stock units, 1/3 vest on 3-6-2020, 1/3 vest on 3-6-2021, and 1/3 vest on 3-6-2022.
- (4) These restricted stock units vest in 2022 if certain performance measures are achieved by the Issuer
- (5) Of these restricted stock units, 1/3 vest on 3-6-2019, 1/3 vest on 3-6-2020, and 1/3 vest on 3-6-2021.
- (6) These restricted stock units vest in 2021 if certain performance measures are achieved by the Issuer.
- (7) These restricted stock units vest on 3-6-2021 if certain performance measures are achieved by the Issuer.
- (8) Of these restricted stock units, 1/3 vest in 01-2018, 1/3 vest in 01-2019 and 1/3 vest in 01-2020.
- (9) These restricted stock units vest in 2020 if certain performance measures are achieved by the Issuer.
- (10) These restricted stock units vest on 1-19-2020 if certain performance measures are achieved by the Issuer.
- (11) These restricted stock units vest in 2019 if certain performance measures are achieved by the Issuer.
- (12) Reflects the forfeiture of 136 Performance Based Restricted Stock Units granted but not earned during performance period.
- (13) Of these restricted stock units, 1/3 vest on 1-20-2018, 1/3 vest on 1-20-2019, and 1/3 vest on 1-20-2020.

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.