# Edgar Filing: CITIZENS & NORTHERN CORP - Form 144

CITIZENS & NORTHERN CORP

Form 144 July 31, 2017

UNITED STATES OMB APPROVAL

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SECURITIES AND EXCHANGE

**COMMISSION** 

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June 30, 2020

Washington, D.C. 20549

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**FORM 144** 

SEC USE ONLY

NOTICE OF PROPOSED SALE OF

**SECURITIES** 

DOCUMENT SEQUENCE NO.

# PURSUANT TO RULE 144 UNDER THE SECURITIES ACT OF 1933

Transmit for filing 3 copies of this form concurrently with either placing an order with a broker to execute sale

**ATTENTION:** 

or executing a sale directly with a market maker.

**CUSIP NUMBER** 

(c) S E C FILE

1 (a) NAME OF ISSUER (Please type or print)(b) IRS IDENT. NO.					NO.		WORK LOCATION	
Citizens & Northern Corp	oration	ion 23-2451943		000-16084				
1 (d) ADDRESS OF ISSUER	STREET	CITY		STATE	ZIP CODE	(e) TELE	PHONE NO.	
90-92 Main Street		Wellsboro		PA	16901	AREA CODE	NUMBER	
7 0 7 2						570	724-3411	
2 (a) NAME OF PERSON FOR WHOSE ACCOUNT	, ,	ELATIONSHII SUER	c (c) ADDRESS S	TREET	CITY	STATE	ZIP CODE	
THE SECURITIES ARE TO BE SOLD Edward H. Owlett, III and	l Direct	or	894 Dean Hill Ro	nad.	Wellsboro	o PA	16901	
Mary E. Owlett	Direct	OI	077 Dean Till Ke	au	W CHSUUIC	IA	10701	

INSTRUCTION: The person filing this notice should contact the issuer to obtain the I.R.S. Identification Number and the S.E.C. File Number.

3 (a) SEC USE ONLY (c) (d) (e)
Name and Address of Each Broker Through Broker-Dealer Number of Shares Aggregate Number

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Title of	Whom the Securities are to be Offered or	File Number	or Other Units	Market	or Ot
the Class of	Each Market Maker		To Be Sold	Value	Outst
Securities T Be Sold	Γο who is Acquiring the Securities		(See instr. $3(c)$ )	(See instr. 3(d))	) (See ii
	Cowen Execution Services LLC				
Common	1633 Broadway 48th Floor		35,519	\$820,134 <sub>(a)</sub>	12,17
	New York, NY 10019				

## **INSTRUCTIONS:**

1. (a) Name of issuer

	(b)	Issuer's I.R.S. Identification Number	(b)	Name and address of each broker through whom the securities are intended to be sold
	(c)	Issuer's S.E.C. file number, if any	(c)	Number of shares or other units to be sold (if debt securities, give the aggregate face amount)
	(d)	Issuer's address, including zip code	(d)	Aggregate market value of the securities to be sold as of a specified date within 10 days prior to the filing of this notice
	(e)	Issuer's telephone number, including area code	(e)	Number of shares or other units of the class outstanding, or if debt securities the face amount thereof outstanding, as shown
2.	(a)	Name of person for whose account the securities are to be sold	(f)	Approximate date on which the securities are to be sold
	(b)	Such person's relationship to the issuer (e.g., officer, director, 10% stockholder, or member of immediate family of any of the foregoing) Such person's address, including zip code		Name of each securities exchange, if any, on which the securities are intended to be sold
	(c)			

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 control number.

3. (a) Title of the class of securities to be sold

### TABLE I — SECURITIES TO BE SOLD

Furnish the following information with respect to the acquisition of the securities to be sold

and with respect to the payment of all or any part of the purchase price or other consideration therefor:

Title of Date you Name of Person from Whom Acquired Amount of Nature of Acquisition Transaction

the Class Acquired (*If gift, also give date donor acquired*)

Securities Acquir

Shares acquired over many years via purchase for cash, dividend reinvestment through company plan, exercise of stock options and inheritance

Common Various Various Various

If the securities were purchased and full payment therefor was not made in cash at the time of INSTRUCTIONS: purchase, explain in the table or in a note thereto the nature of the consideration given. If the consideration consisted of any note or other obligation, or if payment was made in installments describe the arrangement and state when the note or other obligation was discharged in full or the last installment paid.

#### TABLE II — SECURITIES SOLD DURING THE PAST 3 MONTHS

Furnish the following information as to all securities of the issuer sold during the past 3 months by the person for whose account the securities are to be sold.

Amount of

Date

Name and Address of Seller Title of Securities Sold **Gross Proceeds** of Securities Sold

Sale

None

(a) Aggregate market value of shares to be sold based on closing price of \$23.09 per share on July **REMARKS:** 

27, 2017.

#### **INSTRUCTIONS:**

See the definition of "person" in paragraph (a) of Rule 144. Information is to be given not only as to the person for whose account the securities are to be sold but also as to all other persons included in that definition. In addition, information shall be given as to sales by all persons whose sales are required by paragraph (e) of Rule 144 to be aggregated with sales for the account of the person filing this notice.

**ATTENTION:** *The person for whose account the securities* to which this notice relates are to be sold hereby represents by signing this notice that he does not know any material adverse information in regard to the current and prospective operations of the Issuer of the securities to be sold which has not been publicly disclosed. If such person has adopted a written trading plan or given trading instructions to satisfy Rule 10b5-1 under the Exchange Act, by signing the form and indicating the date that the plan was adopted or the instruction given, that person makes such representation as of the plan adoption or instruction date.

July 31, 2017 DATE OF NOTICE /s/ Edward H. Owlett, III and Mary E. Owlett (SIGNATURE)

INSTRUCTION,

IF RELYING ON RULE 10B5-1

DATE OF PLAN ADOPTION OR GIVING OF The notice shall be signed by the person for whose account the securities are to be sold. At least one copy of the notice shall be manually signed. Any copies not manually signed shall bear typed or printed signatures.

ATTENTION: Intentional misstatements or omission of facts consitute Federal Criminal Violations (See 18 **U.S.C 1001)** 

SEC 1147 (02-08)