

NBT BANCORP INC

Form 5

February 12, 2014

**FORM 5****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).Form 3 Holdings  
Reported

Form 4

Transactions

Reported

**ANNUAL 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

OMB  
Number: 3235-0362Expires: January 31,  
2005Estimated average  
burden hours per  
response... 1.01. Name and Address of Reporting Person \*  
**LEVY JEFFREY M**

(Last) (First) (Middle)

**52 SOUTH BROAD STREET**

(Street)

**NORWICH, NY 13815**

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading  
Symbol  
**NBT BANCORP INC [NBTB]**3. Statement for Issuer's Fiscal Year Ended  
(Month/Day/Year)  
**12/31/2013**4. If Amendment, Date Original  
Filed(Month/Day/Year)5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

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

EVP/ Pres Commercial Banking

6. Individual or Joint/Group Reporting

(check applicable line)

☒ Form Filed by One Reporting Person  
☐ Form Filed by More than One Reporting  
Person**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

| 1. Title of<br>Security<br>(Instr. 3)     | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired<br>(A) or Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned at end<br>of Issuer's<br>Fiscal Year<br>(Instr. 3 and 4) | 6.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|-------------------------------------------|-----------------------------------------|-------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------|-------------------------------------------------------------------|
| NBT<br>Bancorp<br>Inc.<br>Common<br>Stock | 12/31/2013                              | Â                                                           | J                                       | 168.006 A                                                               | \$ 0<br>(1)                                                                                                  | 44,932.038 D                                                               | Â                                                                 |
| NBT<br>Bancorp<br>Inc.<br>Common<br>Stock | 12/31/2013                              | Â                                                           | J                                       | 510.979 A                                                               | \$ 0<br>(2)                                                                                                  | 5,110.218 I                                                                | 401k                                                              |

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NBT  
Bancorp  
Inc.  
Common  
Stock

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1,080.335

I

NBT  
Bancorp  
ESOP

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 2270  
(9-02)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5.<br>Number<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and Amount<br>Underlying Security<br>(Instr. 3 and 4) |
|-----------------------------------------------------|-----------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|-----------------------------------------|-----------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|----------------------------------------------------------------|
|                                                     |                                                                       |                                         |                                                             |                                         | (A) (D)                                                                                                               | Date Exercisable<br>Expiration<br>Date                         | Title                                                          |
| Non-Qualified<br>Stock Option<br>(right to buy)     | \$ 20.19                                                              | Â                                       | Â                                                           | Â                                       | Â Â                                                                                                                   | 01/15/2011 <sup>(3)</sup> 01/15/2020                           | NBT<br>Bancorp<br>Inc.<br>Common<br>Stock                      |
| Non-Qualified<br>Stock Option<br>(right to buy)     | \$ 20.3617                                                            | Â                                       | Â                                                           | Â                                       | Â Â                                                                                                                   | 01/15/2009 <sup>(4)</sup> 01/15/2018                           | NBT<br>Bancorp<br>Inc.<br>Common<br>Stock                      |
| Non-Qualified<br>Stock Option<br>(right to buy)     | \$ 22.352                                                             | Â                                       | Â                                                           | Â                                       | Â Â                                                                                                                   | 01/01/2007 <sup>(4)</sup> 01/01/2016                           | NBT<br>Bancorp<br>Inc.<br>Common<br>Stock                      |
| Non-Qualified<br>Stock Option<br>(right to buy)     | \$ 23.293                                                             | Â                                       | Â                                                           | Â                                       | Â Â                                                                                                                   | 10/01/2006 <sup>(4)</sup> 10/01/2015                           | NBT<br>Bancorp<br>Inc.<br>Common<br>Stock                      |
| Non-Qualified<br>Stock Option                       | \$ 25.38                                                              | Â                                       | Â                                                           | Â                                       | Â Â                                                                                                                   | 01/15/2010 <sup>(3)</sup> 01/15/2019                           | NBT<br>Bancorp                                                 |

(right to buy)

Inc.  
Common  
Stock  
  
NBT  
Bancorp  
Inc.  
Common  
Stock

Non-Qualified

Stock Option \$ 25.762    ^

(right to buy)

^

^

^

^

01/01/2008<sup>(4)</sup>

01/01/2017

## Reporting Owners

| Reporting Owner Name / Address                               | Relationships |           |                                |       |
|--------------------------------------------------------------|---------------|-----------|--------------------------------|-------|
|                                                              | Director      | 10% Owner | Officer                        | Other |
| LEVY JEFFREY M<br>52 SOUTH BROAD STREET<br>NORWICH, NY 13815 | ^             | ^         | ^ EVP/ Pres Commercial Banking | ^     |

## Signatures

By: F. Sheldon Prentice, Power of Attorney For: Jeffrey M.  
Levy

02/12/2014

\_\_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).

(1) Shares acquired under Dividend Reinvestment Plan at a broker during period of January 1, 2013 to December 31, 2013.

(2) Shares were purchased from 1/1/2013 through 12/31/2013 through NBT Bancorp Inc. 401k Plan.

(3) Pursuant to NBT Bancorp Inc. Omnibus Stock Option Agreement the grant vests 40% for first year, 20% annually for following years.

(4) Pursuant to NBT Bancorp Inc. 1993 Stock Option Plan grant vests 40% for first year, 20% annually for following years.

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.