

NICHOLAS FINANCIAL INC  
 Form 3  
 June 03, 2014

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

OMB APPROVAL

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**INITIAL STATEMENT OF 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 * |         | 2. Date of Event Requiring Statement | 3. Issuer Name <b>and</b> Ticker or Trading Symbol |  |
| Â Bates Kevin Dean                        |         | (Month/Day/Year)                     | NICHOLAS FINANCIAL INC [NICK]                      |  |
| (Last)                                    | (First) | (Middle)                             | 06/01/2014   |  |
| 2454 MCMULLEN BOOTH DRIVE,Â BLDG C        |         |                                      | 4. Relationship of Reporting Person(s) to Issuer   | 5. If Amendment, Date Original Filed(Month/Day/Year)                   |
| (Street)                                  |         |                                      | (Check all applicable)                             |  |
| CLEARWATER,Â FLÂ 33759                    |         |                                      | <input type="checkbox"/> Director                  | <input type="checkbox"/> 10% Owner                                     |
| (City)                                    | (State) | (Zip)                                | <input checked="" type="checkbox"/> Officer        | <input type="checkbox"/> Other   |
|   |         |                                      | (give title below)                                 | (specify below)  |
|   |         |                                      | Senior VP Branch Operations                        | 6. Individual or Joint/Group Filing(Check Applicable Line)             |
|   |         |                                      |  | <input checked="" type="checkbox"/> Form filed by One Reporting Person |
|   |         |                                      |  | <input type="checkbox"/> Form filed by More than One Reporting Person  |

**Table I - Non-Derivative Securities Beneficially Owned**

| 1. Title of Security (Instr. 4) | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) | 4. Nature of Indirect Beneficial Ownership (Instr. 5) |
|---------------------------------|---|--|---|
| Common Stock                    | 11,050  | D  | Â   |

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

SEC 1473 (7-02)

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

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

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|                             | Date Exercisable | Expiration Date |              | Amount or Number of Shares |              | or Indirect (I) (Instr. 5) |   |
|-----------------------------|------------------|-----------------|--------------|----------------------------|--------------|----------------------------|---|
| Stock Option (right to buy) | Â (1)            | 05/12/2015      | Common Stock | 1,650                      | \$ 9.41      | D                          | Â |
| Stock Option (right to buy) | Â (3)            | 05/08/2017      | Common Stock | 5,500                      | \$ 8.21 (2)  | D                          | Â |
| Stock Option (right to buy) | Â (4)            | 03/19/2018      | Common Stock | 3,300                      | \$ 3.6 (2)   | D                          | Â |
| Stock Option (right to buy) | Â (8)            | 11/06/2018      | Common Stock | 5,500                      | \$ 0.77 (2)  | D                          | Â |
| Stock Option (right to buy) | Â (5)            | 05/05/2019      | Common Stock | 5,500                      | \$ 1.2 (2)   | D                          | Â |
| Stock Option (right to buy) | Â (6)            | 05/09/2021      | Common Stock | 1,500                      | \$ 10.96 (2) | D                          | Â |
| Stock Option (right to buy) | Â (7)            | 05/03/2022      | Common Stock | 10,000                     | \$ 10.87 (2) | D                          | Â |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |                                     |       |
|---|---------------|-----------|-------------------------------------|-------|
|   | Director      | 10% Owner | Officer                             | Other |
| Bates Kevin Dean<br>2454 MCMULLEN BOOTH DRIVE<br>BLDG C<br>CLEARWATER, FL 33759 | Â             | Â         | Â Senior VP<br>Branch<br>Operations | Â     |

## Signatures

/s/ Kevin D. Bates 06/03/2014

\*\*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) The option vested in five equal annual installments beginning May 12, 2005.
- (2) The exercise price has been reduced by \$2.00 per the Equity Plan requirements as a result of the December 2012 special cash dividend.
- (3) The option vested in five equal annual installments beginning May 8, 2007.
- (4) The option vested in five equal annual installments beginning March 19, 2008.
- (5) The option vested in five equal annual installments beginning May 5, 2009.
- (6) The option vested in five equal annual installments beginning May 9, 2011.
- (7) The option vested in five equal annual installments beginning May 3, 2012.

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(8) The option vested in five equal annual installments beginning November 6, 2008.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure.

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