SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

Kimball Lisa A		2. Date of Event Requiring Statement (Month/Day/Year) 07/21/2016		3. Issuer Name and Ticker or Trading Symbo Pathfinder Bancorp, Inc. 4. Relationship of Reporting Person(s) to Issu (Check all applicable) Director 10% Own X Officer (give title below) Controller, VP		r 5. If Amendment, Date of Original Filed (Month/Day/Year)		/Group Filing (Check y One Reporting Person	
(City)	(State)	(Zip)						Reporting P	
Table I - Non-Derivative Securities Beneficially Owned									
1. Title of Security (Instr. 4)					Beneficially Owned (Instr. 4)			4. Nature of Indirect Beneficial Ownership (Instr. 5)	
Common Stock					2,992	Ι	By B	SOP	
Common Stock					4,998	I By 4		401(k)	
Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)									
Exp			2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4		4. Conversion or Exercise	Form:	6. Nature of Indirect Beneficial Ownership (Instr. 5)
			Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Price of Derivative Security	Direct (D) or Indirect (I) (Instr. 5)	
Stock Options			05/06/2017	05/06/2026	Common Stock	2,636	11.35	D	

Explanation of Responses:

/s/ James A. Dowd as POA for 07/21/2016

<u>Lisa A Kimball</u>

** Signature of Reporting Person Date

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

* 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).

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

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 Number.