# FORM 4

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

| OMB APPROVAL        |           |  |  |  |  |
|---------------------|-----------|--|--|--|--|
| OMB Number:         | 3235-0287 |  |  |  |  |
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| 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 or Section 30(h) of the Investment Company Act of 1940

| (Print or Type                                       | e Responses)  |  |   |   |  |                                      |  |   |   |  |                     |                                       |   |  |   |
|--|---|--|---|---|--|--------------------------------------|--|---|---|--|---------------------|---------------------------------------|---|--|---|
| Name and Address of Reporting Person * Simms Richard |   |  |   | 2. Issuer Name and Ticker or Trading Symbol ROCKY BRANDS, INC. [RCKY] |  |                                      |  |   | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) 10% Owner 10% |  |                     |                                       |   |  |   |
| (Last) (First) (Middle) 39 EAST CANAL STREET         |   |  |   | 3. Date of Earliest Transaction (Month/Day/Year) 01/02/2020           |  |                                      |  |   |   |  |                     |                                       |   |  |   |
| (Street)   |   |  |   | 4. If Amendment, Date Original Filed(Month/Day/Year)                  |  |                                      |  |   |   |  |                     |                                       |   |  |   |
| NELSONVILLE, OH 45764 (City) (State) (Zip)           |   |  |   | Table I - Non-Derivative Securities Acqu                              |  |                                      |  |   |   |  |                     |                                       |   |  |   |
| 1.Title of Sec<br>(Instr. 3)                         | curity  |  |   | 2A. Deemed<br>Execution Date, if                                      |  | 3. Transaction<br>Code<br>(Instr. 8) |  | 4. Securities Acquir (A) or Disposed of (Instr. 3, 4 and 5)  (A) or   |   | 5. Amount of 3<br>Owned Follow<br>Transaction(s)<br>(Instr. 3 and 4) |                     | Securities Beneficially ving Reported |   | 6.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 4) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
| Common   | Stock, with   | out par value                              | 01/04/2020                              |   |  | M                                    |  | 50 A  | Price<br>\$ 0   | 4,24   | 5                   |                                       |   | D  |   |
|  |   |  |   |   |  |                                      |  |   |   | T. Title and Amount of Underlying decurities                         |                     |                                       |   |  |   |
| 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<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if        | 4.<br>Transac<br>Code   | 5. Nu<br>of<br>Deriv<br>Secur<br>Acqui<br>(A) or                                 | mber ative ities red sed of 3, 4,    | iired, Disp  | sed of, or Ben<br>nvertible secur<br>ercisable and<br>Date            | 7. Tit<br>of Ur   | Owner<br>le and<br>iderlying   | Amount              | 8. Price of                           | 9. Number of Derivative Securities Beneficially Owned Following Reported Transaction (Instr. 4) | Owners Form of Derivat Securit Direct or India                             | Ownersh<br>(y: (Instr. 4)<br>(D)                                  |
| Derivative<br>Security                               | Conversion<br>or Exercise<br>Price of<br>Derivative                   | Date                                       | 3A. Deemed<br>Execution Date, if<br>any | 4.<br>Transac<br>Code   | s, calls, wa  5. Nu  10 periv  Securi  Acqui  (A) or  Dispo  (D)  (Instr.  and 5 | mber ative ities red sed of 3, 4,    | options, co  | sed of, or Ben<br>nvertible secu-<br>ercisable and<br>Date<br>y/Year) | 7. Tit<br>of Ur   | Owner<br>le and<br>iderlying   | Amount              | 8. Price of<br>Derivative<br>Security | Derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction       | Owners Form o Derivat Securit Direct o or India (s) (I)                    | ship of Indire Benefici Ownersh (Instr. 4)                        |
| Derivative<br>Security                               | Conversion<br>or Exercise<br>Price of<br>Derivative                   | Date                                       | 3A. Deemed<br>Execution Date, if<br>any | 4. Transac<br>Code<br>(Instr. 8                                       | s, calls, wa  5. Nu  10 periv  Securi  Acqui  (A) or  Dispo  (D)  (Instr.  and 5 | mber ative ities red sed of 3, 4,    | hired, Dispoptions, co<br>6. Date Ex<br>Expiration<br>(Month/D | sed of, or Ben<br>nvertible secu-<br>ercisable and<br>Date<br>y/Year) | Title  Com Sto with   | Owner<br>le and<br>iderlying   | Amount or Number of | 8. Price of<br>Derivative<br>Security | Derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction       | Owners Form o Derivat Securit Direct o or India (s) (I)                    | ship of Indire Benefici Ownersh (Instr. 4)                        |

| D ( O N /  | Relationships |              |                         |       |  |
|--|---------------|--------------|-------------------------|-------|--|
| Reporting Owner Name /<br>Address                              | Director      | 10%<br>Owner | Officer                 | Other |  |
| Simms Richard<br>39 EAST CANAL STREET<br>NELSONVILLE, OH 45764 |               |              | President of Operations |       |  |

# **Signatures**

| Jeremy D. Siegfried, Attorney-in-Fact | 01/06/2020 |
|---------------------------------------|------------|
| **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) Option vests 20% per year beginning on the first anniversary of the date of grant.
- (2) Each restricted stock unit represents a contingent right to receive one share of Issuer's Common Stock.
- $\textbf{(3)} \ \ Restricted \ stock \ unit \ vests \ 25\% \ per \ year \ beginning \ on \ the \ first \ anniversary \ of \ the \ date \ of \ grant.$

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.