

FAWCETT MATTHEW K
Form 4
June 05, 2018

FORM 4

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

OMB APPROVAL

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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, 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 *
FAWCETT MATTHEW K

2. Issuer Name and Ticker or Trading Symbol
NetApp, Inc. [NTAP]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
1395 CROSSMAN AVE

(Street)

3. Date of Earliest Transaction (Month/Day/Year)
05/31/2018

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
SVP, GC & Secretary

SUNNYVALE, CA 94089

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) | | | |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|--------|---|--|
| | | | Code | V | Amount | (A) or (D) | Price | | | |
| Common Stock | 05/31/2018 | | J ⁽¹⁾ | | 981 | A | \$ 21.3095 | 39,668 | D | |
| Common Stock | 06/01/2018 | | M | | 2,850 | A | \$ 0 | 42,518 | D | |
| Common Stock | 06/01/2018 | | F | | 1,413 | D | \$ 69.71 | 41,105 | D | |
| Common Stock | 06/01/2018 | | M | | 4,850 | A | \$ 0 | 45,955 | D | |
| Common Stock | 06/01/2018 | | F | | 2,404 | D | \$ 69.71 | 43,551 | D | |

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| | | | | | | | |
|--------------|------------|---|--------|---|----------|--------|---|
| Common Stock | 06/01/2018 | M | 6,500 | A | \$ 0 | 50,051 | D |
| Common Stock | 06/01/2018 | F | 3,222 | D | \$ 69.71 | 46,829 | D |
| Common Stock | 06/01/2018 | M | 5,000 | A | \$ 0 | 51,829 | D |
| Common Stock | 06/01/2018 | F | 2,479 | D | \$ 69.71 | 49,350 | D |
| Common Stock | 06/03/2018 | M | 10,625 | A | \$ 0 | 59,975 | D |
| Common Stock | 06/03/2018 | F | 5,267 | D | \$ 69.71 | 54,708 | D |

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.

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(9-02)

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

| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Security (Instr. 3 and 4) | | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--------------|----------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Restricted Stock Unit | \$ 0 ⁽²⁾ | 06/01/2018 | | M | 2,850 | 06/01/2016 ⁽³⁾ | 06/23/2022 | Common Stock | 2,850 |
| Restricted Stock Unit | \$ 0 ⁽²⁾ | 06/01/2018 | | M | 4,850 | 06/01/2016 ⁽³⁾ | 06/23/2022 | Common Stock | 4,850 |
| Restricted Stock Unit | \$ 0 ⁽²⁾ | 06/01/2018 | | M | 6,500 | 06/01/2017 ⁽⁴⁾ | 06/01/2023 | Common Stock | 6,500 |
| Restricted Stock Unit | \$ 0 ⁽²⁾ | 06/01/2018 | | M | 5,000 | 06/01/2018 ⁽⁵⁾ | 06/01/2024 | Common Stock | 5,000 |
| Restricted Stock Unit | \$ 0 ⁽²⁾ | 06/03/2018 | | M | 10,625 | 06/03/2015 ⁽⁶⁾ | ⁽⁶⁾ | Common Stock | 10,625 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------------------|-------|
| | Director | 10% Owner | Officer | Other |
| FAWCETT MATTHEW K 1395 CROSSMAN AVE SUNNYVALE, CA 94089 | | | SVP, GC & Secretary | |

Signatures

By: Roberta S. Cohen Attorney-in-Fact For: Matthew K. Fawcett 06/05/2018

__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 purchased under the NetApp 1999 Employee Stock Purchase Plan on May 31, 2018.
- (2) Restricted stock units convert into common stock on a one-for-one basis.
- (3) On June 23, 2015, the reporting person was granted 19,400 restricted stock units, vesting in four equal annual installments beginning on June 1, 2016, subject to continued service on each applicable vesting date.
- (4) On June 1, 2016, the reporting person was granted 26,000 restricted stock units, vesting in four equal annual installments beginning on June 1, 2017 and subject to continued service on each applicable vesting date.
- (5) On June 1, 2017, the reporting person was granted 20,000 restricted stock units, vesting in four equal annual installments beginning on June 1, 2018 and subject to continued service on each applicable vesting date.
- (6) The restricted stock unit shares vest as to 25% of the shares on the one-year anniversary of the grant date, and 25% of the shares on each annual anniversary thereafter for the next 3 years.

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.