

FAWCETT MATTHEW K  
Form 4  
June 05, 2018

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
Estimated average burden 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, 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

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

SUNNYVALE, CA 94089

(City) (State) (Zip)

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

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

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)  
SVP, GC & Secretary

6. Individual or Joint/Group Filing(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 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 <sup>(1)</sup>		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	

Edgar Filing: FAWCETT MATTHEW K - Form 4

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.**

SEC 1474  
(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 <sup>(2)</sup>	06/01/2018		M	2,850	06/01/2016 <sup>(3)</sup>	06/23/2022	Common Stock	2,850
Restricted Stock Unit	\$ 0 <sup>(2)</sup>	06/01/2018		M	4,850	06/01/2016 <sup>(3)</sup>	06/23/2022	Common Stock	4,850
Restricted Stock Unit	\$ 0 <sup>(2)</sup>	06/01/2018		M	6,500	06/01/2017 <sup>(4)</sup>	06/01/2023	Common Stock	6,500
Restricted Stock Unit	\$ 0 <sup>(2)</sup>	06/01/2018		M	5,000	06/01/2018 <sup>(5)</sup>	06/01/2024	Common Stock	5,000
Restricted Stock Unit	\$ 0 <sup>(2)</sup>	06/03/2018		M	10,625	06/03/2015 <sup>(6)</sup>	<sup>(6)</sup>	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.