

NetApp, Inc.
Form 3
July 27, 2015

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 *

REICH JOEL D

(Last) (First) (Middle)

495 EAST JAVA DRIVE

(Street)

SUNNYVALE, CA 94089

(City) (State) (Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

07/17/2015

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

4. Relationship of Reporting
Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer ☐ Other
(give title below) (specify below)
Exec VP, Product Operations

5. 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

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)

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

SEC 1473 (7-02)

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information contained in this form are not
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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)

Date Exercisable Expiration
Date Date

3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)

Title

Amount or
Number of
Shares

4. Conversion
or Exercise
Price of
Derivative
Security

5. Ownership
Form of
Derivative
Security:
Direct (D)
or Indirect
(I)
(Instr. 5)

6. Nature of
Indirect Beneficial
Ownership
(Instr. 5)

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Non-Qualified Stock Option (right to buy)	07/01/2012 ⁽¹⁾	05/31/2019	Common Stock	4,500	\$ 29.44	D	Â
Non-Qualified Stock Option (right to buy)	07/03/2014 ⁽²⁾	06/02/2021	Common Stock	14,700	\$ 36.59	D	Â
Non-Qualified Stock Option (right to buy)	07/01/2010 ⁽³⁾	05/31/2017	Common Stock	7,709	\$ 37.62	D	Â
Non-Qualified Stock Option (right to buy)	07/03/2013 ⁽⁴⁾	06/02/2020	Common Stock	14,400	\$ 37.64	D	Â
Non-Qualified Stock Option (right to buy)	10/28/2014 ⁽⁵⁾	11/14/2020	Common Stock	25,000	\$ 41.42	D	Â
Non-Qualified Stock Option (right to buy)	07/01/2011 ⁽⁶⁾	05/31/2018	Common Stock	10,000	\$ 53.22	D	Â
Restricted Stock Unit	04/16/2013 ⁽⁷⁾	04/16/2019	Common Stock	2,500	\$ 0 ⁽⁸⁾	D	Â
Restricted Stock Unit	06/01/2013 ⁽⁹⁾	06/01/2019	Common Stock	1,200	\$ 0 ⁽⁸⁾	D	Â
Restricted Stock Unit	06/03/2014 ⁽¹⁰⁾	06/03/2020	Common Stock	2,400	\$ 0 ⁽⁸⁾	D	Â
Restricted Stock Unit	11/15/2014 ⁽¹¹⁾	11/14/2020	Common Stock	6,249	\$ 0 ⁽⁸⁾	D	Â
Restricted Stock Unit	06/03/2015 ⁽¹²⁾	06/02/2021	Common Stock	9,750	\$ 0 ⁽⁸⁾	D	Â
Restricted Stock Unit	06/01/2016 ⁽¹³⁾	06/22/2022	Common Stock	11,400	\$ 0 ⁽⁸⁾	D	Â
Restricted Stock Unit	06/01/2016 ⁽¹⁴⁾	06/23/2022	Common Stock	13,700	\$ 0 ⁽⁸⁾	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
REICH JOEL D 495 EAST JAVA DRIVE SUNNYVALE, CA 94089	Â	Â	Â Exec VP, Product Operations	Â

Signatures

By: Roberta S. Cohen Attorney-in-Fact For: Joel D. Reich

07/27/2015

 **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) On June 1, 2012, the reporting person was granted 14,400 nonqualified stock options, subject to the option vesting monthly in equal installments over four years beginning on July 1, 2012, subject to continued service on each applicable vesting date.
- (2) On June 3, 2014, the reporting person was granted 16,800 nonqualified stock options, subject to the option vesting monthly in equal installments over four years beginning on July 3, 2014, subject to continued service on each applicable vesting date.
- (3) On June 1, 2010, the reporting person was granted 10,000 nonqualified stock options, subject to the option vesting monthly in equal installments over four years beginning on July 1, 2010, subject to continued service on each applicable vesting date.
- (4) On June 3, 2013, the reporting person was granted 14,400 nonqualified stock options, subject to the option vesting monthly in equal installments over four years beginning on July 3, 2013, subject to continued service on each applicable vesting date.
On November 15, 2013, the reporting person was granted 25,000 nonqualified stock options, subject to the option vesting 25% on October 28, 2014, with the balance of the shares vesting monthly in equal installments over the next 36 months, subject to continued service on each applicable vesting date.
- (5) On June 1, 2011, the reporting person was granted 10,000 nonqualified stock options, subject to the option vesting monthly in equal installments over four years beginning on July 1, 2011, subject to continued service on each applicable vesting date.
- (6) On April 16, 2012, the reporting person was granted 10,000 restricted stock units, vesting in four equal annual installments beginning on April 16, 2013 and subject to continued service on each applicable vesting date.
- (7) Restricted stock units convert into common stock on a one-for-one basis.
- (8) On June 1, 2012, the reporting person was granted 4,800 restricted stock units, vesting in four equal annual installments beginning on June 1, 2013 and subject to continued service on each applicable vesting date.
- (9) On June 3, 2013, the reporting person was granted 4,800 restricted stock units, vesting in four equal annual installments beginning on June 3, 2014 and subject to continued service on each applicable vesting date.
- (10) On November 15, 2013, the reporting person was granted 8,333 restricted stock units, vesting in four equal annual installments beginning on November 15, 2014 and subject to continued service on each applicable vesting date.
- (11) On June 3, 2014, the reporting person was granted 13,000 restricted stock units, vesting in four equal annual installments beginning on June 3, 2015, and subject to continued service on each applicable vesting date.
- (12) On June 23, 2015, the reporting person was granted 11,400 restricted stock units, vesting in four equal annual installments beginning on June 1, 2016, subject to continued service on each applicable vesting date.
- (13) On June 23, 2015, the reporting person was granted 13,700 restricted stock units, vesting in four equal annual installments beginning on June 1, 2016, subject to continued service on each applicable vesting date.
- (14)

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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