

Hausmann Robert C
Form 4
August 10, 2018

FORM 4

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

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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
Hausmann Robert C

(Last) (First) (Middle)

2711 N. HASKELL
AVENUE, SUITE 2200

(Street)

DALLAS, TX 75204

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading
Symbol
ZIX CORP [ZIXI]

3. Date of Earliest Transaction
(Month/Day/Year)
08/08/2018

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)

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 Ownership Indirect Beneficial Ownership (Instr. 4)
Common	08/08/2018		M	3,075	A \$ 4.96	71,285	D
Common	08/08/2018		M	3,852	A \$ 3.61	75,137	D
Common	08/08/2018		M	5,000	A \$ 2.4	80,137	D
Common	08/08/2018		M	5,000	A \$ 2.46	85,137	D
Common	08/08/2018		M	36,000	A \$ 1.76	121,137	D
Common	08/08/2018		S	52,927	D \$ 5.6599	68,210	D

(1)

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

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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 Securities (Instr. 3 and 4)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Common Stock Option	\$ 4.96	08/08/2018		M		3,075		<u>(2)</u>	02/12/2027	Common Stock	3,075
Common Stock Option	\$ 3.61	08/08/2018		M		3,852		<u>(3)</u>	02/17/2026	Common Stock	3,852
Common Stock Option	\$ 2.4	08/08/2018		M		5,000		<u>(4)</u>	06/06/2020	Common Stock	5,000
Common Stock Option	\$ 2.46	08/08/2018		M		5,000		<u>(5)</u>	04/08/2020	Common Stock	5,000
Common Stock Option	\$ 1.76	08/08/2018		M		36,000		<u>(6)</u>	01/03/2020	Common Stock	36,000

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Hausmann Robert C 2711 N. HASKELL AVENUE SUITE 2200 DALLAS, TX 75204	X			

Signatures

/s/ Noah F. Webster,
Attorney-in-Fact

08/10/2018

__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).

- The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$5.65 to \$5.66. The reporting person undertakes to provide to Zix Corporation, any security holder of Zix Corporation, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within such range.
- (1)
 - (2) Grant of 3,075 options on February 13, 2017 vested quarterly and pro-rata over one year. These options expire February 12, 2027.
 - (3) Grant of 3,852 options on February 18, 2016 vested quarterly and pro-rata over one year. These options expire February 17, 2026.
 - (4) Grant of 5,000 options on June 7, 2010 vested quarterly and pro-rata over one year. These options expire June 6, 2020.
 - (5) Grant of 5,000 options on April 9, 2010 vested quarterly and pro-rata over one year. These options expire April 8, 2020.
 - (6) Grant of 36,000 options on January 4, 2010 vested quarterly and pro-rata over one year. These options expire January 3, 2020.

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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