SEC Form 4

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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940 OMB APPROVAL
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1. Name and Addres	ss of Reporting Perso I <u>ALD J</u>	n*	2. Issuer Name and Ticker or Trading Symbol <u>NetApp, Inc.</u> [NTAP]		tionship of Reporting Person all applicable) Director	10% Owner	
(Last) 1395 CROSSM	(First) AN AVE	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 05/31/2018		Officer (give title below) EVP Finance & Opera	Other (specify below) tions, CFO	
(Street) SUNNYVALE	СА	94089	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line) X	ridual or Joint/Group Filing (Check Applical Form filed by One Reporting Person Form filed by More than One Reporting Person		
(City)	(State)	(Zip)			Feison		

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)	Transaction Code (Instr.		4. Securities Disposed Of			5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership	
		(Code	v	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)		(Instr. 4)	
Common Stock	05/31/2018		J ⁽¹⁾		689	A	\$21.3095	52,124	D		
Common Stock	06/01/2018		М		8,077	A	\$0.0	60,201	D		
Common Stock	06/01/2018		F		4,004	D	\$69.71	56,197	D		
Common Stock	06/01/2018		М		9,000	A	\$0.0	65,197	D		
Common Stock	06/01/2018		F		4,462	D	\$69.71	60,735	D		

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. Transa Code (8)				6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Restricted Stock Unit	\$0.0 ⁽²⁾	06/01/2018		М			8,077	06/01/2017 ⁽³⁾	06/01/2023	Common Stock	8,077	\$0.0	16,154	D	
Restricted Stock Unit	\$0.0 ⁽²⁾	06/01/2018		М			9,000	06/01/2018 ⁽⁴⁾	06/01/2024	Common Stock	9,000	\$0.0	27,000	D	

Explanation of Responses:

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 1, 2016, the reporting person was granted 32,309 restricted stock units, vesting in four equal annual installments beginning on June 1, 2017 and subject to continued service on each applicable vesting date.

4. On June 1, 2017, the reporting person was granted 36,000 restricted stock units, vesting in four equal annual installments beginning on June 1, 2018 and subject to continued service on each applicable vesting date.

<u>By: Roberta S. Cohen</u> <u>Attorney-in-Fact For: Ronald</u> James Pasek

06/05/2018

** Signature of Reporting Person Date

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

* 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.