## 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 OMB Number: 3235-0287 Estimated average burden

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| 1. Name and Addres <u>REICH JOEL</u> | is of Reporting Persor        | *     | 2. Issuer Name <b>and</b> Ticker or Trading Symbol<br><u>NetApp</u> , <u>Inc.</u> [ NTAP ] |                         | ionship of Reporting Perso<br>all applicable)<br>Director | n(s) to Issuer<br>10% Owner           |  |
|--------------------------------------|-------------------------------|-------|--|-------------------------|---|---------------------------------------|--|
| (Last)<br>1395 CROSSMA               | (First) (Middle)              |       | 3. Date of Earliest Transaction (Month/Day/Year)<br>01/03/2018                             | Х                       | Officer (give title<br>below)<br>Exec VP, Product O       | Other (specify<br>below)<br>perations |  |
| (Street)<br>SUNNYVALE                | Street)<br>SUNNYVALE CA 94089 |       | 4. If Amendment, Date of Original Filed (Month/Day/Year)                                   | 6. Indivi<br>Line)<br>X |   |                                       |  |
| (City)                               | (State)                       | (Zip) |  |                         | Person  | She reporting                         |  |

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

| 1. Title of Security (Instr. 3) | 2. Transaction<br>Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | Code (Instr. |   | 4. Securities Acquired (A) or<br>Disposed Of (D) (Instr. 3, 4 and 5) |                      |           | 5. Amount of<br>Securities<br>Beneficially<br>Owned Following<br>Reported | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------|--|---|--------------|---|--|----------------------|-----------|---|---|---|
|                                 |  |   | Code         | v | Amount   | Amount (A) or<br>(D) |           | Transaction(s)<br>(Instr. 3 and 4)  |   | (1150.4)  |
| Common Stock                    | 01/03/2018                                 |   | М            |   | 3,509  | A                    | \$37.64   | 3,950   | D   |   |
| Common Stock                    | 01/03/2018                                 |   | М            |   | 2,550  | A                    | \$36.59   | 6,500   | D   |   |
| Common Stock                    | 01/03/2018                                 |   | S            |   | 6,059  | D                    | \$55.7901 | 441   | D   |   |
| Common Stock                    | 01/03/2018                                 |   | S            |   | 441  | D                    | \$55.904  | 0   | D   |   |

## Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

(e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3)       | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4. 5. Numt<br>Transaction<br>Code (Instr.<br>8) Securiti<br>Acquire<br>(A) or<br>Dispose<br>of (D)<br>(Instr. 3<br>and 5) |   | vative<br>urities<br>uired<br>or<br>oosed<br>0)<br>tr. 3, 4 | 6. Date Exerci<br>Expiration Dat<br>(Month/Day/Ye | 7. Title and<br>Amount of<br>Securities<br>Underlying<br>Derivative Security<br>(Instr. 3 and 4) |                    | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 4) | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |   |  |
|---|---|--|---|---|---|---|---|--|--------------------|---|--|--|--|---|--|
|   |   |  |   | Code  | v | (A)   | (D)   | Date<br>Exercisable  | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares   |  |  |   |  |
| Non-<br>Qualified<br>Stock<br>Option<br>(right to<br>buy) | <b>\$</b> 36.59   | 01/03/2018                                 |   | М   |   |   | 2,550   | 07/03/2014 <sup>(1)</sup>  | 06/02/2021         | Common<br>Stock                                     | 2,550  | \$55.7901  | 4,650  | D |  |
| Non-<br>Qualified<br>Stock<br>Option<br>(right to<br>buy) | \$37.64   | 01/03/2018                                 |   | М   |   |   | 3,509   | 07/03/2013 <sup>(2)</sup>  | 06/02/2020         | Common<br>Stock                                     | 3,509  | \$55.7901  | 3,391  | D |  |

**Explanation of Responses:** 

1. 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.

2. 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.

By: Roberta S Cohen Attorney-01/04/2018

in-Fact For: Joel D Reich

\*\* Signature of Reporting Person Date

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

 $^{\ast}$  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.