SEC Form 4

FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b)

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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 3235-0287 OMB Number: Estimated average burden hours per response: 0.5

(Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) below)	1. Name and Address of Reporting Person [*] EARHART ALAN L			2. Issuer Name and Ticker or Trading Symbol <u>NetApp, Inc.</u> [NTAP]		tionship of Reporting Person(s) to Issuer all applicable) Director 10% Owner		
(Street) SUNNYVALE CA 94089 	. ,		(Middle)				Other (specify below)	
(City) (State) (Zip)	· ,	CA (State)	94089 (Zip)	4. If Amendment, Date of Original Filed (Month/Day/Year)	Line)	Form filed by One Repor	rting Person	

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

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)	Code (4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
		Code V Amount (A) or (D) Pr		Price	Transaction(s) (Instr. 3 and 4)		(1150.4)			
Common Stock	09/13/2017		М		7,132	A	\$0.0 ⁽¹⁾	12,821	D	

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

				8		_									
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)		5. Nun Deriva Securi Acquir or Dis of (D) 3, 4 an	tive ties red (A) posed (Instr.	6. Date Exerc Expiration Da (Month/Day/N	ate	Amount of Securities		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported	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		Transaction(s) (Instr. 4)		
Restricted Stock Unit	\$0.0 ⁽¹⁾	09/13/2017		М			7,132	(2)	(2)	Common Stock	7,132	\$ <mark>0.0</mark>	7,916	D	
Restricted Stock Unit	\$0.0 ⁽¹⁾	09/14/2017		A		6,150		(3)	(3)	Common Stock	6,150	\$0.0	14,066	D	

Explanation of Responses:

1. Restricted stock units convert into common stock on a one-for-one basis.

2. On September 15, 2016, the reporting person was granted 7,132 restricted stock units which vest on the day immediately preceding the date of the next Annual Stockholders Meeting of the Company following the Grant Date, subject to the Participant's continuous service on the Board through such date.

3. On September 14, 2017, the reporting person was granted 6,150 restricted stock units which vest on the day immediately preceding the date of the next Annual Stockholders Meeting of the Company following the Grant Date, subject to the subject to the Participant's continuous service on the Board through such date.

By: Roberta S Cohen Attorney-	00/15/2017
in-Fact For: Alan L. Earhart	09/15/2017

** 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.