FORM 4

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

| Washington,  | D.C. | 20549 |
|--------------|------|-------|
| wasinington, | D.C. | 20040 |

| STATEMENT | OF ( | CHANGES | IN  | RENEFICIAL | OWNERSHIP |
|-----------|------|---------|-----|------------|-----------|
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| OMB APPR                 | ROVAL     |  |  |  |  |  |  |  |
|--------------------------|-----------|--|--|--|--|--|--|--|
| OMB Number:              | 3235-0287 |  |  |  |  |  |  |  |
| Estimated average burden |           |  |  |  |  |  |  |  |
| hours per response:      | 0.5       |  |  |  |  |  |  |  |

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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

| 1. Name and Address of Reporting Person* NEVENS THOMAS MICHAEL |   |  |  |                               |                                       | 2. Issuer Name and Ticker or Trading Symbol NetApp, Inc. [ NTAP ] |                                   |            |   |                             |                         |   |                                      |   | tionship of Reporting<br>all applicable)<br>Director |  | Person(s) to Issuer 10% Owner |  |  |  |  |
|--|---|--|--|-------------------------------|---------------------------------------|---|-----------------------------------|------------|---|-----------------------------|-------------------------|---|--------------------------------------|---|--|--|-------------------------------|--|--|--|--|
| (Last)<br>1395 CR  | (I<br>OSSMAN  | First)                                     | (Middle)                               |                               | 3. Date of Earliest Tra<br>09/09/2020 |   |                                   |            |   | ransaction (Month/Day/Year) |                         |   |                                      |   |  | Officer (give title below)   |                               | Other (specify below)  |  |  |  |
| (Street) SUNNY   |   | CA CA                                      | 94089                                  |                               | 4.                                    | . If An   | nendmer                           | nt, Date o | of Origii   | nal File                    | d (Month/Day            | /Year)  |                                      | 6. Indiv<br>Line)<br>X                            | Form fil   | ed by One  | Repo                          | (Check App<br>ting Person<br>One Report                                  |  |  |  |
| (City)   | (;  | State)                                     | (Zip)                                  | lon-De                        | rivati                                | ive S   | Securit                           | ies Ar     | auire   | ed Di                       | sposed of               | or Be   | nefic                                | ially (   | Owned  |  |                               |  |  |  |  |
| 1. Title of Security (Instr. 3)                                |   | 2. Transaction<br>Date<br>(Month/Day/Yea   |  | on 2A. Deemed Execution Date, |                                       | ed<br>Date,   | 3.<br>Transaction<br>Code (Instr. |            | 4. Securities Acquired (A) or<br>Disposed Of (D) (Instr. 3, 4 and |                             |                         | 5. Amount of<br>Securities<br>Beneficially<br>Owned Following                           |                                      | Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4) |  | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership                |                               |  |  |  |  |
|  |   |  |  |                               |                                       |   |                                   |            | Code V  |                             | Amount (A) or (D) Price |   | Reported<br>Transacti<br>(Instr. 3 a |   | ion(s)   |  |                               | nstr. 4)   |  |  |  |
| Common   | Common Stock 09/1   |  |  | 09/1                          | 1/2020                                | 2020  |                                   |            | M   |                             | 22,831                  | Α   | \$4                                  | 3.77  | 22,831   |  |                               | D  |  |  |  |
| Common   | Stock   |  |  | 09/1                          | 1/2020                                | )   |                                   |            | S   |                             | 22,831                  | D   | \$44.6                               | 5197 <sup>(1)</sup>                               |  | 0  | D                             |  |  |  |  |
| Common   | Stock   | 09/09                                      |  |                               | 9/2020                                | 020   |                                   |            | M   |                             | 5,766                   | Α   | \$                                   | 0.0   | 35,810 <sup>(2)</sup>                                |  |                               | Ι Ι  | by Trust   |  |  |
|  |   |  | Table I                                |                               |                                       |   |                                   |            |   |                             | posed of, convertib     |   |                                      |   | wned   |  |                               |  |  |  |  |
| 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) | Date Execution (Month/Day/Year) if any | ion Date, Tra                 |                                       | action<br>(Instr.   |                                   |            | 6. Date Exer<br>Expiration D<br>(Month/Day/                       |                             | ate                     | 7. Title and Amo<br>of Securities<br>Underlying<br>Derivative Secur<br>(Instr. 3 and 4) |                                      | urity (   | 3. Price of<br>Derivative<br>Security<br>Instr. 5)   | 9. Number derivative Securities Beneficial Owned Followin Reported | re<br>es<br>ally<br>g         | 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>Exerc   | cisable                     | Expiration<br>Date      | Title   | or<br>Nur<br>of                      | mber<br>ares                                      |  | Transacti<br>(Instr. 4)  | OII(S)                        | 1(5)   |  |  |  |
| Non-<br>Qualified<br>Stock<br>Option<br>(right to<br>buy)      | \$43.77   | 09/11/2020                                 |  |                               | М                                     |   |                                   | 22,831     |   | (3)                         | 09/12/2020              | Commo<br>Stock  |                                      | ,831  | <b>\$</b> 44.6197                                    | 0  |                               | D  |  |  |  |
| Restricted   | \$0.0 <sup>(4)</sup>  | 09/09/2020                                 |  |                               | М                                     |   |                                   | 5,766      | 09/09   | )/2020 <sup>(5)</sup>       | ) (5)                   | Commo   | on 5.                                | 766   | \$0.0  | 0  |                               | D  |  |  |  |

## **Explanation of Responses:**

\$0.0<sup>(4)</sup>

Restricted

Stock Unit

1. The price in Column 4 is a weighted average price. The prices actually received ranged from \$44.04 to \$44.93. The reporting person will provide to the issuer, any security holder of the issuer, or the SEC staff, upon request, information regarding the number of shares sold at each price within the range.

(6)

(6)

- 2. Shares held by the Nevens Family 1997 Trust.
- 3. The option is immediately exercisable, but any shares purchased under the option will be subject to repurchase by the Company at the option exercise price paid per share, upon the reporting person's cessation of Board service prior to vesting in those shares. The shares will vest upon the reporting person's continuation in Board service through the day immediately preceding the next Annual Stockholders Meeting following the grant date.
- 4. Restricted stock units convert into common stock on a one-for-one basis.

09/10/2020

- 5. On September 12, 2019, the reporting person was granted 5,766 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.
- 6. On September 9, 2020, the reporting person was granted 7,324 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 Attorneyin-Fact For: T. Michael Nevens

7,324

Stock

\$<mark>0.0</mark>

09/11/2020

7,324

D

\*\* 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).

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7,324

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.