

REICH JOEL D
Form 4
June 05, 2018

FORM 4

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
REICH JOEL D

(Last) (First) (Middle)

1395 CROSSMAN AVE

(Street)

SUNNYVALE, CA 94089

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
NetApp, Inc. [NTAP]

3. Date of Earliest Transaction (Month/Day/Year)
05/31/2018

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)

Exec VP, Product Operations

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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount (A) or (D) Price		
Common Stock	05/31/2018		J ⁽¹⁾		603 A \$ 21.3095	D	
Common Stock	06/01/2018		M		3,425 A \$ 0	D	
Common Stock	06/01/2018		F		1,529 D \$ 69.71	D	
Common Stock	06/01/2018		M		2,850 A \$ 0	D	
Common Stock	06/01/2018		F		1,272 D \$ 69.71	D	

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Common Stock	06/01/2018	M	9,000	A	\$ 0	42,966	D
Common Stock	06/01/2018	F	4,018	D	\$ 69.71	38,948	D
Common Stock	06/01/2018	M	7,250	A	\$ 0	46,198	D
Common Stock	06/01/2018	F	3,237	D	\$ 69.71	42,961	D
Common Stock	06/03/2018	M	3,250	A	\$ 0	46,211	D
Common Stock	06/03/2018	F	1,451	D	\$ 69.71	44,760	D

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)	Amount or Number of Shares	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	
Restricted Stock Unit	\$ 0 ⁽²⁾	06/03/2018		M	3,250	06/03/2015 ⁽³⁾	06/02/2021	Common Stock	3,250
Restricted Stock Unit	\$ 0 ⁽²⁾	06/01/2018		M	2,850	06/01/2016 ⁽⁴⁾	06/22/2022	Common Stock	2,850
Restricted Stock Unit	\$ 0 ⁽²⁾	06/01/2018		M	3,425	06/01/2016 ⁽⁵⁾	06/23/2022	Common Stock	3,425
Restricted Stock Unit	\$ 0 ⁽²⁾	06/01/2018		M	9,000	06/01/2017 ⁽⁶⁾	06/01/2023	Common Stock	9,000
Restricted Stock Unit	\$ 0 ⁽²⁾	06/01/2018		M	7,250	06/01/2018 ⁽⁷⁾	06/01/2024	Common Stock	7,250

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
REICH JOEL D 1395 CROSSMAN AVE SUNNYVALE, CA 94089			Exec VP, Product Operations	

Signatures

By: Roberta S. Cohen Attorney-in-Fact For: Joel D. Reich 06/05/2018

__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).
- (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 3, 2014, the reporting person was granted 13,000 restricted stock units, vesting in four equal annual installments beginning on June 3, 2015, and subject to continued service on each applicable vesting date.
 - (4) On June 23, 2015, the reporting person was granted 11,400 restricted stock units, vesting in four equal annual installments beginning on June 1, 2016, subject to continued service on each applicable vesting date.
 - (5) On June 23, 2015, the reporting person was granted 13,700 restricted stock units, vesting in four equal annual installments beginning on June 1, 2016, subject to continued service on each applicable vesting date.
 - (6) On June 1, 2016, the reporting person was granted 36,000 restricted stock units, vesting in four equal annual installments beginning on June 1, 2017 and subject to continued service on each applicable vesting date.
 - (7) On June 1, 2017, the reporting person was granted 29,000 restricted stock units, vesting in four equal annual installments beginning on June 1, 2018 and subject to continued service on each applicable vesting date.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.