

HUMPHREYS STEVEN
Form 4
July 27, 2018

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2005
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).

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 *
HUMPHREYS STEVEN

(Last) (First) (Middle)

2201 WALNUT AVENUE, SUITE #100

(Street)

FREMONT, CA 94538

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
Identiv, Inc. [INVE]

3. Date of Earliest Transaction (Month/Day/Year)
01/09/2018

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)
CEO

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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| | | | Code | V Amount (D) Price | | | |
| Common Stock | 01/09/2018 | | F | 2,766 D \$ 3.3 | 258,153 ⁽¹⁾ | D | |
| Common Stock | 02/09/2018 | | F | 2,577 D \$ 3.66 | 255,576 ⁽²⁾ | D | |
| Common Stock | 03/09/2018 | | F | 2,736 D \$ 3.84 | 252,840 ⁽³⁾ | D | |
| Common Stock | 04/09/2018 | | F | 2,180 D \$ 3.47 | 250,660 ⁽⁴⁾ | D | |
| Common Stock | 05/09/2018 | | F | 2,180 D \$ 3.42 | 248,480 ⁽⁵⁾ | D | |

Edgar Filing: HUMPHREYS STEVEN - Form 4

| | | | | | | | |
|--------------|------------|---|-------|---|---------|------------------------|---|
| Common Stock | 06/08/2018 | F | 2,180 | D | \$ 4.31 | 246,300 ⁽⁶⁾ | D |
| Common Stock | 07/09/2018 | F | 2,180 | D | \$ 4.17 | 244,120 ⁽⁷⁾ | D |

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

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 control number. SEC 1474 (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) | 8. Price of Derivative Security (Instr. 5) | 9. Number of Derivative Securities Owned Following Transaction (Instr. 5) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| HUMPHREYS STEVEN 2201 WALNUT AVENUE, SUITE #100 FREMONT, CA 94538 | X | | CEO | |

Signatures

/s/ Steven
Humphreys
07/27/2018
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) Includes an aggregate of 126,107 shares of common stock issuable pursuant to previously reported restricted stock units that have not vested.

Edgar Filing: HUMPHREYS STEVEN - Form 4

- (2) Includes an aggregate of 119,801 shares of common stock issuable pursuant to previously reported restricted stock units that have not vested.
- (3) Includes an aggregate of 113,496 shares of common stock issuable pursuant to previously reported restricted stock units that have not vested.
- (4) Includes an aggregate of 107,191 shares of common stock issuable pursuant to previously reported restricted stock units that have not vested.
- (5) Includes an aggregate of 100,885 shares of common stock issuable pursuant to previously reported restricted stock units that have not vested.
- (6) Includes an aggregate of 94,580 shares of common stock issuable pursuant to previously reported restricted stock units that have not vested.
- (7) Includes an aggregate of 88,275 shares of common stock issuable pursuant to previously reported restricted stock units that have not vested.

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.