### Edgar Filing: Passi Gaurav - Form 4

Passi Gaurav

| Form 4<br>July 09, 2018   | ,                                       |  |  |                       |   |                |                            |  |   |           |  |
|---|---|--|--|-----------------------|---|----------------|----------------------------|--|---|-----------|--|
|   | Л                                       |  |  |                       |   |                |                            |  |   | PPROVAL   |  |
| FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549        |   |  |  |                       |   |                |                            |  | OMB<br>Number:  | 3235-0287 |  |
| Check this box<br>Expires: Januar   |   |  |  |                       |   |                |                            |  |   |           |  |
| (Print or Type R  | lesponses)                              |  |  |                       |   |                |                            |  |   |           |  |
| Passi Gaurav Symbol   |   |  |  | Name and<br>nc. [FIVN |   | Tradir         | ıg                         | 5. Relationship of Reporting Person(s) to<br>Issuer  |   |           |  |
| (Last)  | (First) (M                              | liddle)                                  | 3. Date of Earliest Transaction (Check               |                       |   |                |                            |  | k all applicable)   |           |  |
| (Month/E<br>C/O FIVE9, INC., BISHOP RANCH<br>8,, 4000 EXECUTIVE PARKWAY,<br>SUITE 400 |   |  |  | /Day/Year)<br>2018    |   |                |                            | Director       10% Owner         Officer (give title       Other (specify below)         below)       below)         EVP, Product Management |   |           |  |
|   | Filed(Month/Day/Year)                   |  |  |                       | 6. Individual or Joint/Group Filing(Check<br>Applicable Line)<br>_X_ Form filed by One Reporting Person |                |                            |  |   |           |  |
| SAN RAMC  | ON, CA 94583                            |  |  |                       |   |                |                            | Form filed by M<br>Person  |   |           |  |
| (City)  | (State) (                               | (Zip)                                    | Table  | e I - Non-De          | erivative S   | Securi         | ities Acc                  | uired, Disposed of   | , or Beneficial   | ly Owned  |  |
| 1.Title of<br>Security<br>(Instr. 3)  | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deen<br>Execution<br>any<br>(Month/I | n Date, if Transaction(A) or Disposed of<br>Code (D) |                       |   | d of           | Securities<br>Beneficially | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4)   | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |           |  |
| Common<br>Stock   | 07/05/2018                              |  |  | Code V<br>M           | Amount<br>979   | or<br>(D)<br>A | Price<br>\$<br>4.25        | (Instr. 3 and 4)   | D   |           |  |
| Common<br>Stock   | 07/05/2018                              |  |  | S                     | 979 <u>(1)</u>  | D              | \$<br>35.1<br>(2)          | 83,588   | D   |           |  |

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

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# 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 Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transactio<br>Code<br>(Instr. 8) | 5. Number<br>onof<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3, 4,<br>and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) |  | 8. F<br>Der<br>Sec<br>(Ins |
|---|---|---|---|--|--|--|--------------------|---|--|----------------------------|
|   |   |   |   | Code V                                 | (A) (D)  | Date<br>Exercisable  | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares |                            |
| Employee<br>Stock<br>Option<br>(right to<br>buy)    | \$ 4.25   | 07/05/2018                              |   | М                                      | 979  | <u>(3)</u>   | 11/05/2024         | Common<br>Stock   | 979                                    |                            |

## **Reporting Owners**

| Reporting Owner Name / Address   | Relationships |           |                         |       |  |  |  |
|--|---------------|-----------|-------------------------|-------|--|--|--|
| I. S.  | Director      | 10% Owner | Officer                 | Other |  |  |  |
| Passi Gaurav<br>C/O FIVE9, INC., BISHOP RANCH 8,<br>4000 EXECUTIVE PARKWAY, SUITE 400<br>SAN RAMON, CA 94583 |               |           | EVP, Product Management |       |  |  |  |
| Signatures   |               |           |                         |       |  |  |  |
| /s/ David Hill, 07/09/201 attorney-in-fact   | 8             |           |                         |       |  |  |  |

\*\*Signature of Reporting Person

## **Explanation of Responses:**

\* If the form is filed by more than one reporting person, see Instruction 4(b)(v).

Date

- \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on March 2, 2018.

The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$34.96 to \$35.25, inclusive. The reporting person undertakes to provide Five9, Inc., any security holder of Five9, Inc., or the staff of the

- (2) The security index of the reporting person undertakes to provide river, inc., any security index of river, inc., of the start of the securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in this footnote.
- (3) The option vests in 48 equal monthly installments beginning on the one month anniversary of November 5, 2014.

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.