

Facebook Inc
Form 4
November 16, 2016

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
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 *
Cox Christopher K

(Last) (First) (Middle)

C/O FACEBOOK, INC., 1601
WILLOW ROAD

(Street)

MENLO PARK, CA 94025

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
Facebook Inc [FB]

3. Date of Earliest Transaction
(Month/Day/Year)
11/14/2016

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

___ Director ___ 10% Owner
X Officer (give title below) ___ Other (specify below)

Chief Product Officer

6. Individual or Joint/Group Filing(Check Applicable Line)
X 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)
				(A) or (D)	Price		
Class A Common Stock	11/14/2016		S ⁽¹⁾	3,000	D	\$ 114.5047	379,068 D
					(2)		
Class A Common Stock	11/14/2016		S ⁽¹⁾	6,314	D	\$ 115.5289	372,754 D
					(3)		
Class A Common Stock	11/14/2016		S ⁽¹⁾	4,486	D	\$ 116.3151	368,268 D
					(4)		
Class A Common	11/14/2016		S ⁽¹⁾	1,200	D	\$ 117.43	367,068 D
					(5)		

Edgar Filing: Facebook Inc - Form 4

Stock

Class A Common Stock	11/14/2016	<u>S</u> ⁽¹⁾	600	D	\$ 118.885 <u>(6)</u>	366,468	D
Class A Common Stock	11/15/2016	C	<u>11,371</u> ⁽⁷⁾	A	\$ 0	377,839	D
Class A Common Stock	11/15/2016	C	<u>86,584</u> ⁽⁷⁾	A	\$ 0	464,423	D
Class A Common Stock	11/15/2016	M	10,022	A	\$ 0	474,445	D
Class A Common Stock	11/15/2016	S	<u>8,300</u> ⁽⁸⁾	D	\$ 116.5166 <u>(9)</u>	466,145	D
Class A Common Stock	11/15/2016	S	<u>35,214</u> ⁽⁸⁾	D	\$ 117.3584 <u>(10)</u>	430,931	D
Class A Common Stock	11/15/2016	S	<u>12,830</u> ⁽⁸⁾	D	\$ 118.1002 <u>(11)</u>	418,101	D

Class A Common Stock						76,945	I
----------------------------	--	--	--	--	--	--------	---

By
Christopher
K. Cox
Revocable
Trust (12)

Class A Common Stock						28,816	I
----------------------------	--	--	--	--	--	--------	---

By
Remainder
Interest
Trust
Created
Under The
Christopher
K. Cox
2009
Annuity
Trust Dated
5/29/2009
(13)

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)

Edgar Filing: Facebook Inc - Form 4

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 Security (Instr. 3 and 4)	Amount or Number of Shares
				Code V	(A) (D)	Date Exercisable Expiration Date	Title	
Restricted Stock Unit (RSU) (Class B)	(14)	11/15/2016		M	11,371	(15) 08/25/2019	Class B Common Stock (16)	11,371
Class B Common Stock (16)	(16)	11/15/2016		M	11,371	(16) (16)	Class A Common Stock	11,371
Class B Common Stock (16)	(16)	11/15/2016		C	11,371 (17)	(16) (16)	Class A Common Stock	11,371
Restricted Stock Unit (RSU) (Class B)	(14)	11/15/2016		M	86,584	(18) 08/25/2020	Class B Common Stock (16)	86,584
Class B Common Stock (16)	(16)	11/15/2016		M	86,584	(16) (16)	Class A Common Stock	86,584
Class B Common Stock (16)	(16)	11/15/2016		C	86,584 (17)	(16) (16)	Class A Common Stock	86,584
Restricted Stock Units (RSU) (Class A)	(19)	11/15/2016		M	10,022	(20) 03/16/2024	Class A Common Stock	10,022

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Cox Christopher K C/O FACEBOOK, INC. 1601 WILLOW ROAD MENLO PARK, CA 94025			Chief Product Officer	

Signatures

/s/ Michael Johnson as attorney-in-fact for Christopher
K. Cox

11/16/2016

__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) The sales reported were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person.
- The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$113.91 to \$114.87 per share, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (2) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$114.94 to \$115.92 per share, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (3) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$115.95 to \$116.87 per share, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (4) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$117.27 to \$117.58 per share, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (5) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$118.77 to \$119.00 per share, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (6) Represents the number of shares that were acquired upon conversion of Class B Common Stock to Class A Common Stock in connection with the settlement of the restricted stock units (the "RSUs") in Table II.
- (7) Represents the number of shares required to be sold by the reporting person to cover tax withholding obligations in connection with the vesting of the RSUs listed in Table II. This sale is mandated by the Issuer's election under its equity incentive plans to require the satisfaction of tax withholding obligations to be funded by a "sell to cover" transaction and does not represent a discretionary trade by the reporting person.
- (8) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$115.92 to \$116.915 per share, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (9) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$116.92 to \$117.91 per share, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (10) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$117.92 to \$118.47 per share, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (11) Shares held of record by Christopher Cox, Trustee of the Christopher K. Cox Revocable Trust.
- (12) Shares held of record by Remainder Interest Trust Created under the Christopher K. Cox 2009 Annuity Trust dated 5/29/2009, Visra Vichit-Vadakan, Trustee, the beneficiaries of which include the reporting person's children. The reporting person's spouse is trustee of the trust. The reporting person disclaims beneficial ownership of these shares, and the filing of this report is not an admission that the

Edgar Filing: Facebook Inc - Form 4

reporting person is the beneficial owner of these shares for purposes of Section 16 or for any other purpose.

- (14) Each RSU represents a contingent right to receive 1 share of the issuer's Class B Common Stock upon settlement.
- (15) The RSUs vest as to 1/48 of the total number of shares monthly, beginning on September 1, 2013, subject to continued service through each vesting date.
- (16) The Class B Common Stock is convertible into the issuer's Class A Common Stock on a 1-for-1 basis (a) at the holder's option or (b) upon certain transfers of such shares, and has no expiration date.
- (17) The holder elected to convert the shares of Class B Common Stock into Class A Common Stock on a 1-for-1 basis.
- (18) The RSUs vest as to 1/16th of the total number of shares quarterly, beginning on August 15, 2013, subject to continued service through each vesting date.
- (19) Each RSU represents a contingent right to receive 1 share of the issuer's Class A Common Stock upon settlement.
- (20) The RSUs vest as to 1/16th of the total shares quarterly, beginning on May 15, 2016, subject to continued service through each 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.