**INTEVAC INC** Form 4 February 10, 2016

## FORM 4

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

Washington, D.C. 20549

Check this box if no longer subject to Section 16. Form 4 or Form 5

**SECURITIES** 

obligations may continue. See Instruction 1(b).

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)

(Last)

(City)

1. Name and Address of Reporting Person \* Cho Jay

(First)

(Street)

(State)

2. Issuer Name and Ticker or Trading Symbol

INTEVAC INC [IVAC]

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

02/02/2016

(Middle)

(Zip)

4. If Amendment, Date Original

Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to

Issuer

below)

(Check all applicable)

**OMB** 

Number:

Expires:

response...

Estimated average

burden hours per

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

Director 10% Owner X\_ Officer (give title Other (specify

below) EVP & General Manager

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

SANTA CLARA, CA 95054

3560 BASSETT STREET

1. Title of 2. Transaction Date 2A. Deemed 3. 4. Securities 5. Amount of 6. Ownership 7. Nature of Security (Month/Day/Year) Execution Date, if TransactionAcquired (A) or Securities Form: Direct Indirect (Instr. 3) Code Disposed of (D) Beneficially (D) or Indirect Beneficial (Instr. 3, 4 and 5) Ownership (Month/Day/Year) (Instr. 8) Owned (I) Following (Instr. 4) (Instr. 4)

> Reported (A) Transaction(s) (Instr. 3 and 4)

Code V Amount (D) Price

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

### Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of 3. Transaction Date 3A. Deemed 4. 5. Number of 6. Date Exercisable and 7. Title and Amount of 8 Derivative Conversion (Month/Day/Year) Execution Date, if **Transaction**Derivative **Expiration Date Underlying Securities** Security or Exercise Code Securities (Month/Day/Year) (Instr. 3 and 4) any

(Instr. 3) Price of Derivative Security

(Month/Day/Year) (Instr. 8) Acquired (A)

or Disposed of (D)

(Instr. 3, 4, and 5)

(A)

Code V

(D) Date Expiration Title Exercisable

Date

or Number of Shares

Amount

Restricted

Units

Stock \$0 02/02/2016 A 12,853 02/15/2017

Common (1) Stock

12,853

## **Reporting Owners**

Reporting Owner Name / Address

Relationships

Director 10% Owner

Officer

Other

Cho Jay

3560 BASSETT STREET SANTA CLARA, CA 95054 EVP & General Manager

## **Signatures**

By: Kevin Soulsby For:

02/10/2016

Jay Cho

\*\*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) Vested shares will be delivered to the Reporting Person as soon as possible after 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.

Reporting Owners 2

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. An employee benefit plan or endowment fund in accordance with Rule 240.13d-1(b)(1)(ii)(F); (g) [X] A parent holding company or control person in accordance with Rule 240.13d-1(b)(1)(ii)(G); (h) [] A savings association as defined in Section 3(b) of the Federal Deposit Insurance Act (12 U.S.C. 1813); (i) [] A church plan that is excluded from the definition of an investment company under Section 3(c)(14) of the Investment Company Act of 1940 (15 U.S.C. 80a-3); (j) [] Group, in accordance with Rule 240.13d-1(b)(1)(ii)(J). If this statement is filed pursuant to Rule 13d-1(c), check this box [] Wellington Management Group LLP - HC

Wellington Group Holdings LLP - HC

Wellington Investment Advisors Holdings LLP - HC

Wellington Management Company LLP - IA

Item 4. Ownership. Provide the following information regarding the aggregate number and percentage of the class of securities of the issuer identified in Item 1. (a) Amount Beneficially Owned: See the responses to Item 9 on the attached cover pages. (b) Percent of Class: See the responses to Item 11 on the attached cover pages. (c) Number of shares as to which such person has: (i) sole power to vote or to direct the vote 0 (ii) shared power to vote or to direct the vote See the responses to Item 6 on the attached cover pages. (iii) sole power to dispose or to direct the disposition of 0 (iv) shared power to dispose or to direct the disposition of See the responses to Item 8 on the attached cover pages. Item 5. Ownership of Five Percent or Less of Class. If this statement is being filed to report the fact that as of the date hereof the reporting person has ceased to be the beneficial owner of more than five percent of the class of securities, check the following: [] Item 6. Ownership of More than Five Percent on Behalf of Another Person.

The securities as to which this Schedule is filed are owned of record by clients of one or more investment advisers identified in Exhibit A directly or indirectly owned by Wellington Management Group LLP. Those clients have the right to receive, or the power to direct the receipt of, dividends from, or the proceeds from the sale of, such securities. No such client is known to have such right or power with respect to more than five percent of this class of securities, except as follows:

Not Applicable.

Item 7. Identification and Classification of the Subsidiary Which Acquired the Security Being Reported on by the Parent Holding Company.

See attached Exhibit A. Item 8. Identification and Classification of Members of the Group.

Not Applicable. Item 9. Notice of Dissolution of Group.

Not Applicable. Item 10. Certification.

By signing below I certify that, to the best of my knowledge and belief, the securities referred to above were acquired and are held in the ordinary course of business and were not acquired and are not held for the purpose of or with the effect of changing or influencing the control of the issuer of the securities and were not acquired and are not held in connection with or as a participant in any transaction having that purpose or effect.

#### **SIGNATURE**

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

By: Wellington Management Group LLP

By: <u>/s/</u>

Steven M.

**Hoffman** 

Name:

Steven M.

Hoffman

Title:

Managing

Director

Date:

February 14,

2017

By:

Wellington

Group

Holdings

LLP

By: <u>/s/</u>

Steven M.

**Hoffman** 

Name:

Steven M.

Hoffman

Title:

Managing

Director

Date:

February 14,

2017

By:

Wellington

Investment

Advisors

Holdings

LLP

By: <u>/s/</u>

Steven M.

**Hoffman** 

Name:

Steven M.

Hoffman

Title:

Managing

Director

SIGNATURE 4

Date:

February 14,

2017

By:

Wellington

Management

Company

LLP

By: <u>/s/</u>

Steven M.

Hoffman

Name:

Steven M.

Hoffman

Title:

Authorized

Person

Date:

February 14,

2017

### **Exhibit A**

Pursuant to the instructions in Item 7 of Schedule 13G, the following lists the identity and Item 3 classification of each relevant entity that beneficially owns shares of the security class being reported on this Schedule 13G.

Wellington Group Holdings LLP – HC

Wellington Investment Advisors LLP – HC

Wellington Management Global Holdings, Ltd. - HC

One or more of the following investment advisers (the "Wellington Investment Advisers"):

Wellington Management Company LLP - IA

Wellington Management Canada LLC - IA

Wellington Management Singapore Pte Ltd – IA

Wellington Management Hong Kong Ltd – IA

Wellington Management International Ltd - IA

Wellington Management Japan Pte Ltd - IA

Wellington Management Australia Pty Ltd - IA

The securities as to which this Schedule is filed by Wellington Management Group LLP, as parent holding company of certain holding companies and the Wellington Investment Advisers, are owned of record by clients of the Wellington Investment Advisers. Wellington

Exhibit A 5

Investment Advisors Holdings LLP controls directly, or indirectly through Wellington Management Global Holdings, Ltd., the Wellington Investment Advisors. Wellington Investment Advisors Holdings LLP is owned by Wellington Group Holdings LLP. Wellington Group Holdings LLP is owned by Wellington Management Group LLP.

#### **EXHIBIT B**

### JOINT FILING AGREEMENT

The undersigned hereby agree that this Schedule 13G (the "Schedule 13G") with respect to the common stock of McKesson Corporation is, and any additional amendment thereto signed by each of the undersigned shall be, filed on behalf of each undersigned pursuant to and in accordance with the provisions of 13d-1(k) under the Securities Exchange Act of 1934, as amended, and that all subsequent amendments to the Schedule 13G shall be filed on behalf of each of the undersigned without the necessity of filing additional joint filing agreements. The undersigned acknowledge that each shall be responsible for the timely filing of such amendments, and for the completeness and accuracy of the information concerning it contained therein, but shall not be responsible for the completeness and accuracy of the information concerning the other, except to the extent that it knows or has reason to believe that such information is inaccurate. It is understood and agreed that the joint filing of the Schedule 13G shall not be construed as an admission that the persons named herein constitute a group for purposes of Regulation 13D-G of the Securities Exchange Act of 1934, nor is a joint venture for purposes of the Investment Company Act of 1940.

By:

Wellington

Management

Group LLP

By: /s/

Steven M.

Hoffman

Name:

Steven M.

Hoffman

Title:

Managing

Director

Date:

February 14,

2017

By:

Wellington

Group

**Holdings** 

LLP

By: <u>/s/</u>

Steven M.

EXHIBIT B 6

## **Hoffman**

Name:

Steven M.

Hoffman

Title:

Managing

Director

Date:

February 14,

2017

By:

Wellington

Investment

Advisors

Holdings

LLP

By: <u>/s/</u>

Steven M.

**Hoffman** 

Name:

Steven M.

Hoffman

Title:

Managing

Director

Date:

February 14,

2017

By:

Wellington

Management

Company

LLP

By: /s/

Steven M.

**Hoffman** 

Name:

Steven M.

Hoffman

Title:

Authorized

Person

Date:

February 14,

2017