

Facebook Inc
Form 4
May 02, 2016

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 *
Koum Jan

(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)
04/28/2016

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)

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 |
| Class A Common Stock | 04/28/2016 | | S ⁽¹⁾ | | 61,661 | D | \$ 116.8614 ⁽²⁾ |
| | | | | | | | 37,012,004 |
| Class A Common Stock | 04/28/2016 | | S ⁽¹⁾ | | 129,053 | D | \$ 117.6138 ⁽⁴⁾ |
| | | | | | | | 36,882,951 |
| | | | | | | | I |
| | | | | | | | By Jan Koum, Trustee of The Butterfly Trust U/A/D 1/20/2004 ⁽³⁾ |
| | | | | | | | By Jan Koum, Trustee of The Butterfly |

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| | | | | | | | | |
|----------------------------|------------|--------------------------|-------------|---|------------------------------|------------|---|---|
| Class A Common Stock | 04/28/2016 | <u>S</u> ⁽¹⁾ | 115,219 | D | \$ 118.9748 <u>(5)</u> | 36,767,732 | I | Trust U/A/D 1/20/2004 ⁽³⁾ By Jan Koum, Trustee of The Butterfly Trust U/A/D 1/20/2004 ⁽³⁾ |
| Class A Common Stock | 04/28/2016 | <u>S</u> ⁽¹⁾ | 247,649 | D | \$ 119.6594 <u>(6)</u> | 36,520,083 | I | By Jan Koum, Trustee of The Butterfly Trust U/A/D 1/20/2004 ⁽³⁾ |
| Class A Common Stock | 04/28/2016 | <u>S</u> ⁽¹⁾ | 20,230 | D | \$ 120.4715 <u>(7)</u> | 36,499,853 | I | By Jan Koum, Trustee of The Butterfly Trust U/A/D 1/20/2004 ⁽³⁾ |
| Class A Common Stock | 04/29/2016 | <u>J</u> ⁽⁸⁾ | 141,489 | D | \$ 0 | 0 | I | By Jan Koum, Trustee of The Jan Koum Trust U/A/D 4/29/2014 ⁽⁹⁾ |
| Class A Common Stock | 04/29/2016 | <u>J</u> ⁽⁸⁾ | 141,489 | A | \$ 0 | 36,641,342 | I | By Jan Koum, Trustee of The Butterfly Trust U/A/D 1/20/2004 ⁽³⁾ |
| Class A Common Stock | 04/29/2016 | <u>G</u> ⁽¹⁰⁾ | V 3,500,000 | D | \$ 0 | 33,141,342 | I | By Jan Koum, Trustee of The Butterfly Trust U/A/D 1/20/2004 ⁽³⁾ |
| Class A Common Stock | 04/29/2016 | <u>G</u> ⁽¹⁰⁾ | V 3,500,000 | A | \$ 0 | 3,500,000 | I | By Jan Koum and BNY |

| | | | | | | | | |
|----------------------------|------------|------------------------|---------|---|-------------------------------|------------|---|--|
| Class A Common Stock | 05/02/2016 | <u>S⁽¹⁾</u> | 646,895 | D | \$ 117.3102 <u>(12)</u> | 32,494,447 | I | Mellon Trust of Delaware, Co-Trustees of The Jan Koum Trust IX U/A/D 4/13/2016 <u>(11)</u> By Jan Koum, Trustee of The Butterfly Trust U/A/D 1/20/2004 ⁽³⁾ |
| Class A Common Stock | 05/02/2016 | <u>S⁽¹⁾</u> | 722,037 | D | \$ 118.1248 <u>(13)</u> | 31,772,410 | I | By Jan Koum, Trustee of The Butterfly Trust U/A/D 1/20/2004 ⁽³⁾ |
| Class A Common Stock | 05/02/2016 | <u>S⁽¹⁾</u> | 65,598 | D | \$ 118.6439 <u>(14)</u> | 31,706,812 | I | By Jan Koum, Trustee of The Butterfly Trust U/A/D 1/20/2004 ⁽³⁾ |
| Class A Common Stock | | | | | | 3,500,000 | I | By Jan Koum and BNY Mellon Trust of Delaware Co-Trustees of The Jan Koum Trust VIII U/A/D 1/29/2016 <u>(15)</u> |
| Class A Common Stock | | | | | | 2,242,343 | I | By Jan Koum and BNY Mellon Trust of Delaware, |

| | | | | |
|----------------------|--|-----------|---|--|
| | | | | Co-Trustees of The Jan Koum Trust IV U/A/D 2/4/2015 ⁽¹⁶⁾ |
| Class A Common Stock | | 3,500,000 | I | By Jan Koum and BNY Mellon Trust of Delaware, Co-Trustees of The Jan Koum Trust V U/A/D 4/29/2015 ⁽¹⁷⁾ |
| Class A Common Stock | | 3,500,000 | I | By Jan Koum and BNY Mellon Trust of Delaware, Co-Trustees of The Jan Koum Trust VI U/A/D 8/5/2015 ⁽¹⁸⁾ |
| Class A Common Stock | | 3,500,000 | I | By Jan Koum and BNY Mellon Trust of Delaware, Co-Trustees of The Jan Koum Trust VII U/A/D 10/20/2015 ⁽¹⁹⁾ |
| Class A Common Stock | | 141,489 | I | By Jan Koum, Trustee of The Jan Koum Trust II U/A/D 8/5/2014 ⁽²⁰⁾ |
| | | 2,528,672 | I | |

Class A
Common
Stock

By Jan
Koum,
Trustee of
The Jan
Koum Trust
III U/A/D
10/9/2014
(21)

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 Beneficially Owned Following Reported Transaction (Instr. 6) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| Koum Jan C/O FACEBOOK, INC. 1601 WILLOW ROAD MENLO PARK, CA 94025 | | X | | |

Signatures

/s/ Michael Johnson as attorney-in-fact for Jan Koum 05/02/2016

__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 \$116.26 to \$117.25 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) Shares held of record by Jan Koum, Trustee of The Butterfly Trust U/A/D 1/20/2004.
The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$117.26 to \$118.25 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) Shares held of record by Jan Koum, Trustee of The Butterfly Trust U/A/D 1/20/2004.
The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$118.26 to \$119.25 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) Shares held of record by Jan Koum, Trustee of The Butterfly Trust U/A/D 1/20/2004.
The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$119.26 to \$120.255 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) Shares held of record by Jan Koum, Trustee of The Butterfly Trust U/A/D 1/20/2004.
The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$120.26 to \$120.76 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 transfer of shares from Jan Koum, Trustee of The Jan Koum Trust I U/A/D 4/29/2014 to Jan Koum, Trustee of The Butterfly Trust U/A/D 1/20/2004. The reporting person remains the beneficial owner of all of the shares after the transfer.
- (7) Shares held of record by Jan Koum, Trustee of The Jan Koum Trust I U/A/D 4/29/2014.
On April 29, 2016, Jan Koum, Trustee of The Butterfly Trust U/A/D 1/20/2004 contributed 3,500,000 shares of Class A common stock to Jan Koum and BNY Mellon Trust of Delaware, Co-Trustees of The Jan Koum Trust IX U/A/D 4/13/2016, a grantor retained annuity trust for the benefit of the reporting holder.
- (8) Shares held of record by Jan Koum and BNY Mellon Trust of Delaware, Co-Trustees of The Jan Koum Trust IX U/A/D 4/13/2016.
The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$116.61 to \$117.605 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) Shares held of record by Jan Koum and BNY Mellon Trust of Delaware, Co-Trustees of The Jan Koum Trust IX U/A/D 4/13/2016.
The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$117.61 to \$118.605 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) Shares held of record by Jan Koum and BNY Mellon Trust of Delaware, Co-Trustees of The Jan Koum Trust IX U/A/D 4/13/2016.
The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$118.61 to \$118.725 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 Jan Koum and BNY Mellon Trust of Delaware, Co-Trustees of The Jan Koum Trust VIII U/A/D 1/29/2016.
- (12) Shares held of record by Jan Koum and BNY Mellon Trust of Delaware, Co-Trustees of The Jan Koum Trust IV U/A/D 2/4/2015.
- (13) Shares held of record by Jan Koum and BNY Mellon Trust of Delaware, Co-Trustees of The Jan Koum Trust V U/A/D 4/29/2015.
- (14) Shares held of record by Jan Koum and BNY Mellon Trust of Delaware, Co-Trustees of The Jan Koum Trust VI U/A/D 8/5/2015.
- (15) Shares held of record by Jan Koum and BNY Mellon Trust of Delaware, Co-Trustees of The Jan Koum Trust VII U/A/D 10/20/2015.

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(20) Shares held of record by Jan Koum, Trustee of The Jan Koum Trust II U/A/D 8/5/2014.

(21) Shares held of record by Jan Koum, Trustee of The Jan Koum Trust III U/A/D 10/9/2014.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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