WHITE BRETT T Form 4

October 03, 2017

### FORM 4

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

Check this box

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

(Last)

(Print or Type Responses)

1. Name and Address of Reporting Person \* WHITE BRETT T

2. Issuer Name and Ticker or Trading

Symbol

MINDBODY, Inc. [MB]

(Middle) 3. Date of Earliest Transaction

(Month/Day/Year)

4051 BROAD STREET, SUITE 220

(First)

10/02/2017

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

5. Relationship of Reporting Person(s) to

(Check all applicable)

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

OMB

Number:

Expires:

response...

Estimated average

burden hours per

below) CFO & COO

(Street) 4. If Amendment, Date Original

Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

Issuer

#### SAN LUIS OBISPO, CA 93401

|                                      |   |   |  |                                       |                               | 1                    | CISOII   |  |   |
|--------------------------------------|---|---|--|---------------------------------------|-------------------------------|----------------------|--|--|---|
| (City)                               | (State)                                 | (Zip) Tab   | le I - Non-                            | Derivativ                             | e Secu                        | rities Acqui         | red, Disposed of,  | or Beneficial  | ly Owned  |
| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transactic<br>Code<br>(Instr. 8) | 4. Securi<br>oner Dispo<br>(Instr. 3, | esed of<br>4 and<br>(A)<br>or |                      | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
| Class A<br>Common<br>Stock           | 10/02/2017                              |   | C(1)                                   | 9,898                                 | A                             | \$ 0                 | 107,439 (2)  | D  |   |
| Class A<br>Common<br>Stock           | 10/02/2017                              |   | S(3)                                   | 9,898                                 | D                             | \$<br>26.5538<br>(4) | 97,541 <u>(2)</u>  | D  |   |
| Class A<br>Common<br>Stock           | 10/02/2017                              |   | C <u>(1)</u>                           | 102                                   | A                             | \$ 0                 | 97,643 (2)   | D  |   |
| Class A<br>Common                    | 10/02/2017                              |   | S(3)                                   | 102                                   | D                             | \$ 27                | 97,541 (2)   | D  |   |

#### Stock

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<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date (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 of onDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) |        | 6. Date Exercisable and Expiration Date (Month/Day/Year) |                    | 7. Title and Amo<br>Underlying Secu<br>(Instr. 3 and 4) |                        |
|---|---|--------------------------------------|---|--|---|--------|--|--------------------|---|------------------------|
|   |   |                                      |   | Code V                                 | (A)   | (D)    | Date<br>Exercisable                                      | Expiration<br>Date | Title   | An<br>or<br>Nu<br>of S |
| Employee<br>Stock<br>option<br>(Right to<br>Buy)    | \$ 7.708  | 10/02/2017                           |   | M                                      |   | 10,000 | 06/24/2016   | 06/27/2023         | Class B<br>Common<br>Stock                              | 10                     |
| Class B<br>Common<br>Stock                          | <u>(5)</u>  | 10/02/2017                           |   | M                                      | 10,000  |        | <u>(5)</u>   | <u>(5)</u>         | Class A<br>Common<br>Stock                              | 10                     |
| Class B<br>Common<br>Stock                          | <u>(5)</u>  | 10/02/2017                           |   | C                                      |   | 10,000 | <u>(5)</u>   | <u>(5)</u>         | Class A<br>Common<br>Stock                              | 10                     |

# **Reporting Owners**

| Reporting Owner Name / Address                                     | Relationships |           |           |       |  |  |  |
|--|---------------|-----------|-----------|-------|--|--|--|
| Treporting of their Funds of Funds of                              | Director      | 10% Owner | Officer   | Other |  |  |  |
| WHITE BRETT T 4051 BROAD STREET SUITE 220 SAN LUIS OBISPO CA 93401 |               |           | CFO & COO |       |  |  |  |

## **Signatures**

| 78/ Killiberry G. Lytikamen,    |            |
|---------------------------------|------------|
| Attorney-in-Fact                | 10/03/2017 |
| **Signature of Reporting Person | Date       |

Reporting Owners 2

### Edgar Filing: WHITE BRETT T - Form 4

### **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) Each share of Class A Common Stock was issued upon the conversion of one share of Class B Common Stock at the election of Reporting Person.
- (2) Includes 93,928 restricted stock units ("RSUs"), where each RSU represents a contingent right to receive one share of the Issuer's Class A Common Stock upon settlement.
- (3) The sales reported on this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person.
  - The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$25.95
- (4) to \$26.90, inclusive. Upon request by the Commission staff, the Issuer, or a security holder of the Issuer, the Reporting Person will provide full information regarding the number of shares sold at each separate price within the range set forth in this Form 4.
- (5) Each share of Class B Common Stock is convertible into one share of Class A Common Stock at the option of the holder and has no expiration 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.