

Holdsworth Raymond W Jr
Form 4
November 20, 2018

FORM 4

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

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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
Holdsworth Raymond W Jr

2. Issuer Name **and** Ticker or Trading
Symbol
Willdan Group, Inc. [WLDN]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

2401 EAST KATELLA
AVENUE, SUITE 300

3. Date of Earliest Transaction
(Month/Day/Year)
11/19/2018

☒ Director ☐ 10% Owner
☐ Officer (give title below) ☐ Other (specify below)

(Street)

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

6. Individual or Joint/Group Filing(Check
Applicable Line)

ANAHEIM, CA 92806

☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting
Person

(City) (State) (Zip)

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)
Common Stock	11/19/2018		M	5,000 A \$ 1.87	15,954	D	
Common Stock	11/19/2018		M	5,000 A \$ 1.8	20,954	D	
Common Stock	11/19/2018		M	5,000 A \$ 4.01	25,954	D	
Common Stock	11/19/2018		M	5,000 A \$ 2.48	30,954	D	
Common Stock					60,688	I	By The Holdsworth Family Trust

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

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(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. I. Derivative Securities
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Stock Option (Right to Buy)	\$ 1.87	11/19/2018		M	5,000	<u>(1)</u>	06/08/2019	Common Stock	5,000	
Stock Option (Right to Buy)	\$ 1.8	11/19/2018		M	5,000	<u>(2)</u>	06/04/2022	Common Stock	5,000	
Stock Option (Right to Buy)	\$ 4.01	11/19/2018		M	5,000	<u>(3)</u>	06/06/2021	Common Stock	5,000	
Stock Option (Right to Buy)	\$ 2.48	11/19/2018		M	5,000	<u>(4)</u>	06/07/2020	Common Stock	5,000	

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
Holdsworth Raymond W Jr 2401 EAST KATELLA AVENUE SUITE 300 ANAHEIM, CA 92806	X

Signatures

/s/ Stacy B. McLaughlin, Attorney-in-fact for Raymond W.
Holdsworth, Jr.

11/20/2018

__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 option became exercisable in two equal installments on each of June 8, 2010 and June 8, 2011.
- (2) The option became exercisable in two equal installments on each of June 4, 2013 and June 4, 2014.
- (3) The option became exercisable in two equal installments on each of June 6, 2012 and June 6, 2013.
- (4) The option became exercisable in two equal installments on each of June 7, 2011 and June 7, 2012.

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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