

RICHARD HENRI P  
Form 4  
June 05, 2018

**FORM 4**

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

OMB APPROVAL

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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 \*  
RICHARD HENRI P

2. Issuer Name and Ticker or Trading Symbol  
NetApp, Inc. [NTAP]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
1395 CROSSMAN AVE  
  
(Street)

3. Date of Earliest Transaction (Month/Day/Year)  
05/31/2018

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
EVP, Go To Market

SUNNYVALE, CA 94089

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

6. Individual or Joint/Group Filing(Check Applicable Line)  
 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) |        |   |  |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|--------|---|--|
|                                 |                                      |  | Code                           | V   | Amount  | (A) or (D)   | Price   |        |   |  |
| Common Stock                    | 05/31/2018                           |  | J <sup>(1)</sup>               |   | 997   | A  | \$ 21.3095  | 51,058 | D |  |
| Common Stock                    | 06/01/2018                           |  | M                              |   | 15,158  | A  | \$ 0  | 66,216 | D |  |
| Common Stock                    | 06/01/2018                           |  | F                              |   | 7,515   | D  | \$ 69.71  | 58,701 | D |  |
| Common Stock                    | 06/01/2018                           |  | M                              |   | 9,500   | A  | \$ 0  | 68,201 | D |  |
| Common Stock                    | 06/01/2018                           |  | F                              |   | 4,710   | D  | \$ 69.71  | 63,491 | D |  |

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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 Security (Instr. 3 and 4) | Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|
| Restricted Stock Unit                      | \$ 0 <sup>(2)</sup>                                    | 06/01/2018                           |  | M                              | 15,158  | 06/01/2017 <sup>(3)</sup> 06/01/2023                     | Common Stock  | 15,158                     |
| Restricted Stock Unit                      | \$ 0 <sup>(2)</sup>                                    | 06/01/2018                           |  | M                              | 9,500   | 06/01/2018 <sup>(4)</sup> 06/01/2024                     | Common Stock  | 9,500                      |

## Reporting Owners

| Reporting Owner Name / Address                              | Relationships |           |                   |       |
|---|---------------|-----------|-------------------|-------|
|   | Director      | 10% Owner | Officer           | Other |
| RICHARD HENRI P<br>1395 CROSSMAN AVE<br>SUNNYVALE, CA 94089 |               |           | EVP, Go To Market |       |

## Signatures

By: Roberta S Cohen Attorney-in-Fact For: Henri Richard 06/05/2018

\_\_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) Shares purchased under the NetApp 1999 Employee Stock Purchase Plan on May 31, 2018.

(2) Restricted stock units convert into common stock on a one-for-one basis.

(3) On June 1, 2016, the reporting person was granted 60,630 restricted stock units, vesting in four equal annual installments beginning on June 1, 2017 and subject to continued service on each applicable vesting date.

(4) On June 1, 2017, the reporting person was granted 38,000 restricted stock units, vesting in four equal annual installments beginning on June 1, 2018 and subject to continued service on each applicable vesting date.

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