#### Edgar Filing: FEDERICO RICHARD L - Form 4

#### FEDERICO RICHARD L

Form 4 June 28, 2018

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

30(h) of the Investment Company Act of 1940

**OMB APPROVAL OMB** 

3235-0287 Number:

January 31, Expires: 2005

0.5

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

obligations

Check this box

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 may continue.

See Instruction

1(b).

(Print or Type Responses)

1. Name and A FEDERICO	Symbol	2. Issuer Name <b>and</b> Ticker or Trading Symbol			5. Relationship of Reporting Person(s) to Issuer				
(1+)	(First) (A		JAMBA, INC. [JMBA]			(Check all applicable)			
(Last)	(First) (M	, 5.24.0	3. Date of Earliest Transaction			X Director	100	Owner	
•			(Month/Day/Year) 06/26/2018				Officer (give below)		er (specify
	4. If Am	4. If Amendment, Date Original				6. Individual or Joint/Group Filing(Check			
Filed(Month/			nth/Day/Year)				Applicable Line)		
FRISCO, TX						_X_ Form filed by One Reporting Person Form filed by More than One Reporting Person			
(City)	(State)	(Zip) Tab	le I - Non-De	rivative S	ecuritie	es Acq	uired, Disposed o	of, or Beneficial	lly Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	Transaction Code (Instr. 8)	(D) (Instr. 3, 4	sposed of 4 and 5)  (A) or	of	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	06/26/2018		Λ	18,026 (1) (2)	A	\$ 0	40,821 (3)	D	

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)

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1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	cisable and	7. Titl	le and	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transaction	orNumber	Expiration D	ate	Amou	ınt of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Under	rlying	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Secur	rities	(Instr. 5)	Bene
	Derivative				Securities			(Instr.	. 3 and 4)		Owne
	Security				Acquired						Follo
	·				(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						`
					4, and 5)						
									Amount		
						Date	Expiration		or		
						Exercisable	Date	Title	Number		
						Ziicicisaoie	2		of		
				Code V	(A) (D)				Shares		

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
1 8	Director	10% Owner	Officer	Other		
FEDERICO RICHARD L 3001 DALLAS PARKWAY SUITE 140 FRISCO, TX 75034	X					

### **Signatures**

/s/ Josh Nicosia, as attorney-in-fact for Richard L. Federico

06/28/2018

\*\*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).

The securities reported in this column include (i) 5,218 restricted stock units ("RSUs") for Reporting Person's board service during fiscal year 2018 and (ii) 3,795 RSUs for chairman service during fiscal year 2018, which give the Reporting Person a contingent right to receive

- at a future date one share of JMBA common stock for each restricted stock unit held. The RSUs vest over a one year period in four equal installments, with 25% vesting on each three month period following the Company's 2018 annual stockholder meeting, or the date of the Company's 2019 annual stockholder meeting if the meeting is held before such date, subject to the Reporting Person's continued board service.
- (2) The securities reported in this column include (i) 5,218 shares of common stock issued for Reporting Person's board service during fiscal year 2017 and (ii) 3,795 shares of common stock issued for Reporting Person's chairman service during fiscal year 2017.
- (3) The number of securities reported in this column includes 9,013 restricted stock units held by the Reporting Person as of the date of this filing.

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.

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