Five9, Inc. Form 4 May 16, 2016

## FORM 4

### **OMB APPROVAL**

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

OMB 3235-0287 Number:

Check this box if no longer subject to Section 16.

January 31, Expires: 2005

Form 4 or Form 5 obligations STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

Estimated average burden hours per response... 0.5

may continue. See Instruction

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* Hummer Winblad Equity Partners V,

(First)

(Street)

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

LLC

(Last)

(Middle)

Five9, Inc. [FIVN]

(Check all applicable)

PIER 33 SOUTH, THE EMBARCADERO, SUITE 300 3. Date of Earliest Transaction (Month/Day/Year)

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

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check

Filed(Month/Day/Year)

05/13/2016

Applicable Line) Form filed by One Reporting Person X\_ Form filed by More than One Reporting

SAN FRANCISCO, CA 94111

(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1.Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3) (Month/Day/Year)

4. Securities Acquired 3. Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)

5. Amount of 6. Ownership 7. Nature of Form: Direct Indirect Securities Beneficially (D) or Beneficial Owned Indirect (I) Ownership Following (Instr. 4) (Instr. 4) Reported

(A) Code V Amount (D) Price

Transaction(s) (Instr. 3 and 4)

Common Stock

See 52,173 I Footnote (1)

I

See

Common 05/13/2016 Stock

J(2)

500,000 D

or

\$0 7,060,041 Footnote

(3)

**SEC 1474** 

(9-02)

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

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### Edgar Filing: Five9, Inc. - Form 4

# $\label{thm:convertible} \begin{tabular}{ll} Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned \\ (e.g., puts, calls, warrants, options, convertible securities) \end{tabular}$

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	4. Transactic Code (Instr. 8)	5. onNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3,	;		7. Title and Amount of Underlying Securities (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr
			Code V	4, and 5) (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

# **Reporting Owners**

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
Hummer Winblad Equity Partners V, LLC PIER 33 SOUTH THE EMBARCADERO, SUITE 300 SAN FRANCISCO, CA 94111		X					
HUMMER WINBLAD VENTURE PARTNERS V LP PIER 33 SOUTH THE EMBARCADERO, SUITE 300 SAN FRANCISCO, CA 94111		X					
HUMMER WINBLAD VENTURE PARTNERS V A LP PIER 33 SOUTH THE EMBARCADERO, SUITE 300 SAN FRANCISCO, CA 94111		X					
Hummer John PIER 33 SOUTH THE EMBARCADERO, SUITE 300 SAN FRANCISCO, CA 94111		X					
WINBLAD ANN L PIER 33 SOUTH THE EMBARCADERO, SUITE 300 SAN FRANCISCO, CA 94111		X					

## **Signatures**

HUMMER WINBLAD EQUITY PARTNERS, L.L.C., By: /s/ Ingrid Chiavacci, Ingrid Chiavacci, attorney-in-fact 05/16/2016

\*\*Signature of Reporting Person Date

Reporting Owners 2

HUMMER WINBLAD VENTURE PARTNERS V, L.P., By: Hummer Winblad Equity Partners V, L.L.C., Its General Partner, By: /s/ Ingrid Chiavacci, Ingrid Chiavacci, attorney-in-fact

05/16/2016

\*\*Signature of Reporting Person

Date

HUMMER WINBLAD VENTURE PARTNERS V-A, L.P., By: Hummer Winblad Equity Partners V, L.L.C., Its General Partner, By: /s/ Ingrid Chiavacci, Ingrid Chiavacci, attorney-in-fact

05/16/2016

\*\*Signature of Reporting Person

Date

JOHN HUMMER, By: /s/ Ingrid Chiavacci, Ingrid Chiavacci, attorney-in-fact

05/16/2016

\*\*Signature of Reporting Person

Date

ANN L WINBLAD, By: /s/ Ingrid Chiavacci, Ingrid Chiavacci, attorney-in-fact

05/16/2016

\*\*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).

The reported shares are owned directly by Mitchell Kertzman, who is a managing member of Hummer Winblad Equity Partners V, L.L.C. ("HWEP V"), which is the general partner of Hummer Winblad Venture Partners V, L.P. ("HWVP V") and Hummer Winblad

- Venture Partners V-A, L.P. ("HWVP VA"). By agreement with HWEP V, Mr. Kertzman holds the shares for the benefit of HWEP V.

  Mr. Kertzman disclaims beneficial ownership of the shares except to the extent of his pecuniary interest therein.
- (2) HWVP V distributed for no consideration an aggregate of 500,000 shares of Common Stock of the Issuer to its limited partners on a prorata basis.

The reported shares are held directly by HWVP V as nominee for HWVP V and HWVP VA. John Hummer, Ann Winblad and Mitchell Kertzman are the managing members of HWEP V, which is the general partner of HWVP V and HWVP VA. HWEP V, Mr. Hummer,

Ms. Winblad and Mr. Kertzman disclaim beneficial ownership of all securities held by HWVP V, except to the extent of their pecuniary interests therein.

#### **Remarks:**

This Form 4 is one of two Form 4s filed on the date hereof reporting this transaction. The Reporting Person for the other Form 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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