Edgar Filing: SONIC FOUNDRY INC - Form 4

SONIC FOU	NDRY INC										
Form 4											
March 09, 20)17										
FORM	1 /								-	PPROVAL	
	UNITE	ED STATE		ITIES A hington,			NGE (COMMISSION	OMB Number:	3235-0287	
Check thi				0 /					Expires:	January 31,	
if no long subject to	if no longer subject to STATEMENT OF			GES IN I	BENEFI	CIA	LOW	NERSHIP OF	•	2005	
Section 16.				SECURITIES						Estimated average burden hours per	
Form 4 or	r								response	•	
Form 5	Filed	pursuant to	Section 1	6(a) of the	e Securiti	es Ex	kchang	e Act of 1934,			
obligation may conti	Section			•	•			f 1935 or Section	n		
See Instru 1(b).		30(h	a) of the In	vestment	Company	y Act	of 194	40			
(Print or Type R	Responses)										
KLEINMAN DAVID Syn			Symbol	2. Issuer Name and Ticker or Trading ymbol ONIC FOUNDRY INC [SOFO]				5. Relationship of Reporting Person(s) to Issuer			
(Last) (First) (Middle) 3. Dat			3. Date of Earliest Transaction					(Chec	k all applicable	e)	
			(Month/D		ansaction			X Director	10%	Owner	
10425 SOUT AVENUE	TH HAMILT	ON	03/07/20	-				Officer (give below)		er (specify	
	(Street)		4. If Ame	ndment, Da	te Original			6. Individual or Jo	oint/Group Filir	1g(Check	
				th/Day/Year	-			Applicable Line)			
								X Form filed by (
CHICAGO,	IL 60643							Form filed by M Person	Iore than One Re	eporting	
(City)	(State)	(Zip)	Table	e I - Non-D	erivative S	Securi	ties Acc	uired, Disposed of	f, or Beneficial	ly Owned	
1.Title of	2. Transaction Date 2A. De			4. Securities Acquired				6. Ownership			
Security	(Month/Day/Y		Execution Date, if		Transaction(A) or Disposed of Code (D)			Beneficially (Form: Direct (D) or Indirect (I)	Indirect Beneficial Ownership	
(Instr. 3)		-	any (Month/Day/Year)		Code (D) (Instr. 8) (Instr. 3, 4 and 5)						
								Following	(Instr. 4)	(Instr. 4)	
						(A)		Reported Transaction(s)			
						or		(Instr. 3 and 4)			
Comment				Code V	Amount	(D)	Price	() · · · · · · · · · · · · · · · · · ·			
Common Stock	03/07/2017			Р	6,441	А	\$ 3.96	26,412	D		

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.

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

1. Title of 2. 3. Transaction Date 3A. Deemed 5. Number 6. Date Exercisable and 7. Title and Amou 4. Derivative Conversion (Month/Day/Year) Execution Date, if Transaction of Derivative Expiration Date Underlying Securi (Month/Day/Year) Security or Exercise any Code Securities (Instr. 3 and 4) (Instr. 3) Price of (Month/Day/Year) (Instr. 8) Acquired Derivative (A) or Security Disposed of (D) (Instr. 3, 4, and 5) Amo or Date Expiration Title Nun Exercisable Date of Code V (D) Shar (A) Non-employee Common 03/07/2018 02/07/2027 **Director Stock** \$ 4.66 03/07/2017 А 2,0002.0 Stock Option Non-employee Common \$4.66 **Director Stock** 03/07/2017 500 03/07/2018 02/07/2027 5(Α Stock Option

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Reporting Owners

Reporting Owner Name / Address		Relationsh		
1	Director	10% Owner	Officer	Other
KLEINMAN DAVID 10425 SOUTH HAMILTON AVENUE CHICAGO, IL 60643	Х			
Signatures				

David Kleinman 03/09/2017 <u>**Signature of</u> Date Reporting Person

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) N/A

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.