

2U, Inc.  
Form 4  
April 06, 2017

**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 \*  
STAVIS ROBERT M

(Last) (First) (Middle)

C/O 2U, INC., 7900 HARKINS ROAD

(Street)

LANHAM, MD 20706

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
2U, Inc. [TWOU]

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

04/04/2017

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

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

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

**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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  | Code                           | V   | Amount or Price   |  |                                   |
| Common Stock <sup>(1)</sup>     | 04/04/2017                           |  | A                              |   | 1,385 <sup>(2)</sup>  | A  | \$ 0                              |
| Common Stock <sup>(1)</sup>     | 04/04/2017                           |  | A                              |   | 629 <sup>(3)</sup>  | A  | \$ 39.69 <sup>(4)</sup>           |
| Common Stock <sup>(1)</sup>     | 04/04/2017                           |  | A                              |   | 125 <sup>(3)</sup>  | A  | \$ 0                              |
|                                 |                                      |  |                                |   |   |  | 113,293 <sup>(6)</sup>            |
|                                 |                                      |  |                                |   |   |  | 113,922 <sup>(6)</sup>            |
|                                 |                                      |  |                                |   |   |  | 114,047 <sup>(6)</sup>            |

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

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SEC 1474 (9-02)



## Edgar Filing: 2U, Inc. - Form 4

- (4) The restricted stock units were issued to the reporting person in lieu of annual director retainer fees of \$25,000.
- (5) The option award will vest as to one-third of the underlying shares on each of April 1, 2018, 2019 and 2020, subject to the reporting person's continued service with the issuer as of the applicable vesting date.

The amount reported includes 35,707 shares held by Stavis Ventures II, LLC ("Stavis Ventures"), and 35,740 shares held by Stavco Venture Holdings LLC ("Stavco Venture Holdings"). Stavis Ventures and Stavco Venture Holdings are controlled by the reporting

- (6) person, and the reporting person disclaims beneficial ownership of the shares held by these entities, except to the extent of his pecuniary interest therein, if any.

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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