

Holmes George B
Form 4
October 03, 2018

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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 *
Holmes George B

(Last) (First) (Middle)

C/O RESONANT INC., 110
CASTILIAN DRIVE, SUITE 100

(Street)

GOLETA, CA 93117

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
Resonant Inc [RESN]

3. Date of Earliest Transaction
(Month/Day/Year)
10/01/2018

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)

Chief Executive Officer

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 Indirect Beneficial Ownership (Instr. 4)
			Code	V Amount (A) or (D) Price			
Common Stock	10/01/2018		M	9,000 A <u>1</u>	262,481	D	
Common Stock	10/01/2018		M	2,639 A <u>1</u>	265,120	D	
Common Stock	10/01/2018		M	2,496 A <u>1</u>	267,616	D	
Common Stock	10/02/2018		S ⁽²⁾	7,000 <u>(3)</u> D \$ 3.6875	260,616	D	

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

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SEC 1474
(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 Securities (Instr. 3 and 4)	8. Price or Value of Underlying Securities (Instr. 3 and 4)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Restricted Stock Units	<u>(1)</u>	10/01/2018		M	9,000	<u>(4)</u>	<u>(4)</u>	Common Stock	9,000
Restricted Stock Units	<u>(1)</u>	10/01/2018		M	2,639	<u>(5)</u>	<u>(5)</u>	Common Stock	2,639
Restricted Stock Units	<u>(1)</u>	10/01/2018		M	2,496	<u>(6)</u>	<u>(6)</u>	Common Stock	2,496

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Holmes George B C/O RESONANT INC. 110 CASTILIAN DRIVE, SUITE 100 GOLETA, CA 93117	X		Chief Executive Officer	

Signatures

/s/Jeffrey Killian,
Attorney-In-Fact

10/03/2018

**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) Each restricted stock unit represents a contingent right to receive one share of Resonant common stock.
- (2) This transaction was effected pursuant to a Rule 10b5-1 trading plan previously adopted by the reporting person to satisfy the reporting person's tax withholding obligations upon the vesting of restricted stock units.

This transaction was executed in multiple trades at prices ranging from \$3.64 to \$3.79. The price reported above reflects the weighted average sale price. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transaction was effected.
- (3) 27,000 shares vested on each of July 1, 2016, October 1, 2016 and January 1, 2017, and 9,000 shares will vest on the first business day of each subsequent calendar quarter, commencing April 1, 2017, until fully vested.
- (4) 7,917 shares vested on each of July 1, 2016, October 1, 2016 and January 1, 2017, and 2,639 shares will vest on the first business day of each subsequent calendar quarter, commencing April 1, 2017, until fully vested.
- (5) 22,465 shares vested on October 4, 2016, 7,489 shares vested on January 1, 2017, and 2,496 shares will vest on the first business day of each subsequent calendar quarter, commencing April 1, 2017, until fully vested.
- (6) Adjusted to correct total number of restricted stock units remaining following reported transaction. All prior transactions with respect to restricted stock units have been previously reported.
- (7)

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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