

Sutherland Paul Howard
Form 5
March 04, 2019

FORM 5

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

Check this box if
no longer subject
to Section 16.
Form 4 or Form
5 obligations
may continue.
See Instruction
1(b).
Form 3 Holdings
Reported
Form 4
Transactions
Reported

**ANNUAL 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

OMB APPROVAL

OMB
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1. Name and Address of Reporting Person *
Sutherland Paul Howard

(Last) (First) (Middle)

833 WEST SOUTH BOULDER
ROAD

(Street)

LOUISVILLE, KY 40202

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading
Symbol
GAIA, INC [GAIA]

3. Statement of Issuer's Fiscal Year Ended
(Month/Day/Year)
12/31/2018

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)

6. Individual or Joint/Group Reporting

(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 at end of Issuer's Fiscal Year (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
GAIA Class A Common Stock	Â	Â	Â	Â Â Â	33,840	D ⁽¹⁾	Â
GAIA Class A Common Stock	Â	Â	Â	Â Â Â	4,000 ⁽²⁾	I	Held by 401(k) plan for the benefit of Mr.

Sutherland

GAIA
Class A
Common
Stock

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^

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^

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21,042

I ⁽³⁾

By Trust

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.

SEC 2270
(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)
					(A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Director Stock Option (right to buy)	\$ 14.95	05/03/2018	^	A4	7,257 ^	^ ⁽⁴⁾ 05/03/2028	Class A Common Stock 7,257

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Sutherland Paul Howard
833 WEST SOUTH BOULDER ROAD
LOUISVILLE, CO 80027

^ X

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^

^

Signatures

Paul Tarell Attorney-In-Fact for Paul H.
Sutherland

03/04/2019

__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)

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The reporting person jointly owns 150 shares with his son and 175 shares with his daughter of Gaia, Inc. Class A Common Stock reported herein.

- (2) As a result of changes in his role at FIMgroup in November 2018, the reporting person is no longer reporting 5,900 shares directly beneficially held by FIMgroup.
- (3) Revocable trust for which the reporting person serves as the trustee and the beneficiaries of which include members of the reporting person's immediate family.
- (4) Stock option provides for vesting and exercisability of 20% per year on the date of the annual shareholder meeting starting.

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