Evans Robert D. Form 4 March 14, 2018

# 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.

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

January 31, Expires: 2005 Estimated average

Form 4 or Form 5 obligations **SECURITIES** 

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 \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading Evans Robert D. Issuer Symbol Penumbra Inc [PEN] (Check all applicable) (First) (Middle) 3. Date of Earliest Transaction (Last) (Month/Day/Year) Director 10% Owner X\_ Officer (give title \_Other (specify ONE PENUMBRA PLACE 03/12/2018 below) EVP, Gen. Counsel & Secretary (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year)

ALAMEDA CA 94502

| 1121111221 | 1, 611 > 1502       |                   | Person         |                             |                   |               |             |  |  |
|------------|---------------------|-------------------|----------------|-----------------------------|-------------------|---------------|-------------|--|--|
| (City)     | (State)             | (Zip) T           | able I - Non-I | Derivative Securities Acqui | red, Disposed of, | or Beneficial | ly Owned    |  |  |
| 1.Title of | 2. Transaction Date | 2A. Deemed        | 3.             | 4. Securities Acquired (A)  | 5. Amount of      | 6.            | 7. Nature o |  |  |
| Security   | (Month/Day/Year)    | Execution Date, i | if Transactio  | mr Disposed of (D)          | Securities        | Ownership     | Indirect    |  |  |

| 1. Title of 2. Transaction Date 2A. Deemed 5. 4. Securities Acquired (A) 5. Amount of 0 | J. Mature or           |
|---|------------------------|
| Security (Month/Day/Year) Execution Date, if Transaction Disposed of (D) Securities C   | Ownership Indirect     |
| (Instr. 3) any Code (Instr. 3, 4 and 5) Beneficially F                                  | Form: Beneficial       |
| (Month/Day/Year) (Instr. 8) Owned D   | Direct (D) Ownership   |
| Following o   | or Indirect (Instr. 4) |
| Reported (I   | (I)                    |
| (A) Transaction(s) (I   | (Instr. 4)             |
| or (Instr. 3 and 4)   |                        |
| Code V Amount (D) Price (most 5 and 1)  |                        |
| Common \$ 121.22 160.775  | . By Trust             |
| 03/12/2018 S(4) 10 000 15 121 03 160 775 1  | •                      |
| Stock 55/12/2010 5 100,775 1  | (3)                    |
|   |                        |
| Common  |                        |
| Stock 12,225  | D                      |

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

Persons who respond to the collection of **SEC 1474** information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

### Edgar Filing: Evans Robert D. - Form 4

#### 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         | 4.          | 5.         | 6. Date Exerc | cisable and | 7. Title | e and       | 8. Price of | 9. Nu  |
|-------------|-------------|---------------------|--------------------|-------------|------------|---------------|-------------|----------|-------------|-------------|--------|
| Derivative  | Conversion  | (Month/Day/Year)    | Execution Date, if | Transaction | onNumber   | Expiration D  | ate         | Amou     | nt of       | Derivative  | Deriv  |
| Security    | or Exercise |                     | any                | Code        | of         | (Month/Day/   | Year)       | Underl   | lying       | Security    | Secui  |
| (Instr. 3)  | Price of    |                     | (Month/Day/Year)   | (Instr. 8)  | Derivative | e             |             | Securit  | ties        | (Instr. 5)  | Bene   |
|             | Derivative  |                     |                    |             | Securities |               |             | (Instr.  | 3 and 4)    |             | Owne   |
|             | Security    |                     |                    |             | Acquired   |               |             |          |             |             | Follo  |
|             | •           |                     |                    |             | (A) or     |               |             |          |             |             | Repo   |
|             |             |                     |                    |             | Disposed   |               |             |          |             |             | Trans  |
|             |             |                     |                    |             | of (D)     |               |             |          |             |             | (Instr |
|             |             |                     |                    |             | (Instr. 3, |               |             |          |             |             |        |
|             |             |                     |                    |             | 4, and 5)  |               |             |          |             |             |        |
|             |             |                     |                    |             |            |               |             |          | A manust    |             |        |
|             |             |                     |                    |             |            |               |             |          | Amount      |             |        |
|             |             |                     |                    |             |            | Date          | Expiration  |          | or<br>Namel |             |        |
|             |             |                     |                    |             |            | Exercisable   | Date        |          | Number      |             |        |
|             |             |                     |                    | C-1- V      | (A) (D)    |               |             |          | of          |             |        |
|             |             |                     |                    | Coue v      | (A) (D)    |               |             |          | Shares      |             |        |

## **Reporting Owners**

Relationships Reporting Owner Name / Address

> Other Director 10% Owner Officer

Evans Robert D.

ONE PENUMBRA PLACE EVP, Gen. Counsel & Secretary

ALAMEDA, CA 94502

## **Signatures**

/s/ Robert D. 03/14/2018 **Evans** 

\*\*Signature of 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) The sales were effected pursuant to the Reporting Person's Rule 10b5-1 trading plan.
- This transaction was executed in multiple trades at prices ranging from \$121.00 to \$121.20. The price reported above reflects the
- (2) 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) Shares are held by The 2010 Robert D. Evans and Norma J. Evans Revocable Trust u/d/t dated November 11, 2010.

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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