Edgar Filing: Ultra Clean Holdings, Inc. - Form 4

| Ultra Clean | Holdings, Inc | | | | | | | | | | |
|---|-------------------------------|-------------|--|---|-------------------|--------|------------|---|----------------------------|-------------|--|
| Form 4 | | | | | | | | | | | |
| March 21, 2 | | | | | | | | | | | |
| FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION | | | | | | | | r | OMB APPROVAL | | |
| Washington, D.C. 20549 | | | | | | | | OMB Number: | 3235-0287 | | |
| Check th | | | • • • • | , migton, | D.C. 20. | | | | | January 31, | |
| if no longer subject to STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP | | | | | | | | NERSHIP OF | Expires: | 2005 | |
| | subject to STATEMENT OF CHAIN | | | | | | | | Estimated a burden hou | | |
| Form 4 o | | | | | | | | | response | | |
| Form 5 obligations rection 17(a) of the Public Utility Holding Company Act of 1935 or Section | | | | | | | | | | | |
| may con | tinue. Section | | | • | • | · · | | | n | | |
| <i>See</i> Instr 1(b). | ruction | 50(II |) of the In | vestment | Compan | y Aci | . 01 194 | +0 | | | |
| 1(0). | | | | | | | | | | | |
| (Print or Type | Responses) | | | | | | | | | | |
| | | | | | | | | | | | |
| | Address of Repor | - | | ssuer Name and Ticker or Trading | | | | 5. Relationship of Reporting Person(s) to Issuer | | | |
| | | | - | Symbol | | | | | | | |
| | | | | Ultra Clean Holdings, Inc. [UCTT] | | | | (Check all applicable) | | | |
| (Last) | (First) | (Middle) | 3. Date of (Month/E | f Earliest Tr | ansaction | | | Director | 10% | Owner | |
| ULTRA CI | LEAN HOLDI | INGS, | 03/17/2 | • | | | | Officer (give title Other (specify | | | |
| INC., 26462 CORPORATE AVE | | | | 1//2017 | | | | below) below) SVP, Global Acct Mgmt | | | |
| | (Street) | | 4 If Δme | endment Da | te Original | | | | - | | |
| | | | | .mendment, Date Original Month/Day/Year) | | | | 6. Individual or Joint/Group Filing(Check Applicable Line) | | | |
| | | | | ĩ | , | | | _X_ Form filed by (| | | |
| HAYWAR | D, CA 94545 | | | | | | | Person | More than One Re | eporung | |
| (City) | (State) | (Zip) | Tabl | e I - Non-D |) Derivative (| Securi | ties Acc | uired, Disposed of | f. or Beneficial | llv Owned | |
| 1.Title of | 2. Transaction | Date 2A Dec | | 3. | | | | 5. Amount of | 6. Ownership | - | |
| Security | (Month/Day/Y | | | | | | | Securities | Form: Direct | | |
| (Instr. 3) any | | | Code (Instr. 3, 4 and 5) Day/Year) (Instr. 8) | | | | 5) | Beneficially | (D) or | Beneficial | |
| | | (Ivionui) | (Day/Tear) | (111507. 8) | | | | Owned Following | Indirect (I) (Instr. 4) | (Instr. 4) | |
| | | | | | | (A) | | Reported | | | |
| | | | | | | or | | Transaction(s) (Instr. 3 and 4) | | | |
| Common | | | | Code V | Amount | (D) | Price ¢ | (| | | |
| Common Stock | 03/17/2017 | | | Μ | 30,000 | А | \$ 14.9 | 114,831 | D | | |
| | | | | | | | | | | | |
| Common Stock | 03/17/2017 | | | S <u>(1)</u> | 30,000 | D | \$ 15.4 | 84,831 | D | | |
| SIUCK | | | | | | | 13.4 | | | | |

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.

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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. Transactio Code (Instr. 8) | 5. Number of orDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | | 7. Title and Amour Underlying Securit (Instr. 3 and 4) | |
|---|---|---|---|--|--|--|--------------------|--|---------------------------|
| | | | | Code V | (A) (D) | Date Exercisable | Expiration Date | Title | Amo or Num of Sh |
| Non-Qualified Employee Stock Option (right to buy) | \$ 14.9 | 03/17/2017 | | М | 30,000 | (2) | 04/27/2017 | Common Stock | 30,0 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | | |
|---|---------------|-----------|-----------------------|-------|--|--|--|
| | Director | 10% Owner | Officer | Other | | | |
| HAYWARD DEBORAH E ULTRA CLEAN HOLDINGS, INC. 26462 CORPORATE AVE HAYWARD, CA 94545 | | | SVP, Global Acct Mgmt | | | | |
| Signatures | | | | | | | |
| /s/ Sheri Brumm, as attorney-in-fact for | or Debora | h E. | | | | | |
| Hayward | | | 03/21/2017 | | | | |
| <u>**</u> Signature of Reporting Pers | on | | 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) Shares sold pursuant to a previously established Rule 10b5-1 Plan.
- (2) All shares are vested and exercisable.

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.