### Edgar Filing: Davis Daniel Donen - Form 4

Davis Daniel	Donen										
Form 4 February 20,	2018										
FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549											
if no long subject to Section 1 Form 4 or Form 5 obligatior may conti	Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940						January 31 Expires: 2005 Estimated average burden hours per response 0.5				
(Print or Type R	Responses)										
Davis Daniel Donen Symbo			Symbol	Name and		Fradin	g	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
(Last)	(First)	(Middle)	3. Date of Earliest Transaction (Check					x an applicable)			
			(Month/D 02/15/20	-				Director 10% Owner X Officer (give title Other (specify below) below) See Remarks			
				endment, Date Original nth/Day/Year)				<ul> <li>6. Individual or Joint/Group Filing(Check</li> <li>Applicable Line)</li> <li>_X_ Form filed by One Reporting Person</li> <li> Form filed by More than One Reporting</li> <li>Person</li> </ul>			
(City)	(State)	(Zip)	77 - 1 - 1	I N. D		•		uired, Disposed of			
1.Title of Security (Instr. 3)	× ,	. Transaction Date 2A. Dee Month/Day/Year) Executio any (Month/		3.	4. Securities Acquired tion(A) or Disposed of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of	
Common Stock	02/15/2018			Code V $F^{(1)}$	Amount 2,479	(D) D	Price \$ 98.2	(Instr. 3 and 4) 21,619 (2)	D		
Common Stock	02/16/2018			А	10,190 ( <u>3)</u>	А	\$ 98.2	31,809 <u>(2)</u>	D		

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

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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. Transacti Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	3	Date	Amou Under Secur	rlying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

# **Reporting Owners**

Reporting Owner Name / Address	Relationships							
	Director	10% Owner	Officer	Other				
Davis Daniel Donen ONE PENUMBRA PLACE ALAMEDA, CA 94502			See Remarks					
Signatures								
/s/ Johanna Roberts, as attorney Davis	02/20/2018							
<u>**</u> Signature of Rep	orting Person	l		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) These shares were withheld by or surrendered to Penumbra to pay the reporting person's tax withholding obligations incurred in connection with the vesting of the related restricted stock unit.
- (2) A portion of these shares is subject to vesting.

On February 16, 2018, the Reporting Person was granted 10,190 RSUs under the Company's 2014 Equity Incentive Plan, of which 1/4 of
 (3) the RSUs will vest equally on an annual basis, beginning on February 16, 2019, subject to continued service by the Reporting Person on the applicable vesting date.

#### **Remarks:**

The Reporting Person is Chief Commercial Officer and President, North America.

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.