Edgar Filing: RED ROBIN GOURMET BURGERS INC - Form 4

RED ROBIN GOURMET BURGERS INC

Form 4

February 23, 2017

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

OMB Number:

Check this box if no longer subject to

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES**

3235-0287 January 31, Expires:

2005

0.5

OMB APPROVAL

Section 16. Form 4 or Form 5 obligations may continue.

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

2. Issuer Name and Ticker or Trading

burden hours per response...

Estimated average

See Instruction 1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person * Kaplan Michael L.

Symbol

5. Relationship of Reporting Person(s) to Issuer

RED ROBIN GOURMET **BURGERS INC [RRGB]**

(Check all applicable)

(Last)

(First)

(Middle)

(Zip)

3. Date of Earliest Transaction

Director X_ Officer (give title

10% Owner Other (specify

6312 S. FIDDLER'S GREEN CIRCLE, SUITE 200N

(Street)

(State)

Chief Legal Officer

4. If Amendment, Date Original Filed(Month/Day/Year)

(Month/Day/Year)

02/21/2017

6. Individual or Joint/Group Filing(Check Applicable Line)

(Instr. 3 and 4)

X 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

below)

GREENWOOD VILLAGE, CO 80111

(City)

1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)		3. Tran Code (Inst
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3.	4. Securities Acquired
Transactio	on(A) or Disposed of
Code	(D)
(Instr. 8)	(Instr. 3, 4 and 5)

•		•
5. Amount of	6. Ownership	7. Nature of
Securities	Form: Direct	Indirect
Beneficially	(D) or	Beneficial
Owned	Indirect (I)	Ownership
Following	(Instr. 4)	(Instr. 4)
Reported		
Transaction(s)		

02/21/2017

Code V Amount (D) Price F 61 (1) D

(A) or

2,215

D

Common Stock

Stock

Common

02/21/2017

 $2,146^{(3)}$ 69 (2) D

D

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

F

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 1474 (9-02)

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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	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	cisable and	7. Titl	e and	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transaction	orNumber	Expiration D	ate	Amou	nt of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Under	lying	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Secur	ities	(Instr. 5)	Bene
	Derivative				Securities			(Instr.	3 and 4)		Own
	Security				Acquired						Follo
	•				(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						
					4, and 5)						
									Amount		
						Date	Expiration	TC'41	or		
						Exercisable	Date	Title	Number		
				C 1 17	(A) (D)				of		
				Code V	(A) (D)				Shares		

Reporting Owners

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
Kaplan Michael L. 6312 S. FIDDLER'S GREEN CIRCLE SUITE 200N GREENWOOD VILLAGE, CO 80111			Chief Legal Officer			

Signatures

/s/ Michael L.

Kaplan 02/23/2017

Date **Signature of 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).

In connection with the vesting of 164 time-based restricted stock units, which were granted on February 18, 2015 under the issuer's Second Amended and Restated 2007 Performance Incentive Plan, the reporting person sold 61 of such shares to the issuer to satisfy his

- (1) tax withholding obligations. The sale was approved by the issuer's Compensation Committee in accordance with Rule 16b-3(d)(1) of the Exchange Act (the "Act"), and as such, the sale is exempt from Section 16(b) of the Act pursuant to Rule 16b-3(e) promulgated thereunder.
 - In connection with the vesting of 186 time-based restricted stock units, which were granted on February 19, 2014 under the issuer's Second Amended and Restated 2007 Performance Incentive Plan, the reporting person sold 69 of such shares to the issuer to satisfy his
- (2) tax withholding obligations. The sale was approved by the issuer's Compensation Committee in accordance with Rule 16b-3(d)(1) of the Exchange Act (the "Act"), and as such, the sale is exempt from Section 16(b) of the Act pursuant to Rule 16b-3(e) promulgated
- (3) Includes 1,289 restricted stock units subject to vesting and forfeiture restrictions

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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