Rocket Fuel Inc. Form 3 October 02, 2014

## FORM 3

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

OMB APPROVAL

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, response...

Section 17(a) of the Public Utility Holding Company Act of 1935 or Section

30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement Rocket Fuel Inc. [FUEL] Pandya Bela (Month/Day/Year) 10/01/2014 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 1900 SEAPORT BLVD (Check all applicable) (Street) 6. Individual or Joint/Group Filing(Check Applicable Line) 10% Owner Director \_X\_ Form filed by One Reporting \_X\_\_ Officer Other Person (give title below) (specify below) REDWOOD Form filed by More than One Interim CFO CITY, CAÂ 94063 Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 4. Nature of Indirect Beneficial 1. Title of Security 2. Amount of Securities Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) D Â Common Stock  $2,470 \frac{(1)}{2}$ Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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.

 $Table\ II\ -\ Derivative\ Securities\ Beneficially\ Owned\ (\textit{e.g.},\ puts,\ calls,\ warrants,\ options,\ convertible\ securities)$ 

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)		Securities U	3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		5. Ownership Form of Derivative	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of	Derivative Security	Security: Direct (D) or Indirect	

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				Shares		(I) (Instr. 5)	
Employee Stock Option (right to buy)	(2)	05/13/2023	Common Stock	50,000	\$ 15.33	D	Â
Employee Stock Option (right to buy)	(3)	04/30/2024	Common Stock	3,500	\$ 32.07	D	Â
Employee Stock Option (right to buy)	(4)	08/07/2024	Common Stock	10,000	\$ 16.67	D	Â

### **Reporting Owners**

Reporting Owner Name / Address	Relationships					
ropozonig o mior runne, raunesso	Director	10% Owner	Officer	Other		
Pandya Bela 1900 SEAPORT BLVD REDWOOD CITY Â CAÂ 94063	Â	Â	Interim CFO	Â		

#### **Signatures**

/s/ Ginny Coles, as attorney-in-fact for Bela Pandya 10/02/2014

\*\*Signature of Reporting Person Date

#### **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 5(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).
- 1750 shares are represented by Restricted Stock Units ("RSUs"). One-fourth of the shares subject to the RSUs will vest on April 30, 2015 (1) and one eighth of the shares vest every six months thereafter. 720 shares were acquired under the Rocket Fuel Inc 2013 Employee Stock Purchase Plan in transactions that were exempt under both Rule 16b-3(d) and Rule 16b-3(c).
- (2) One-fourth of the shares subject to the option vested on April 29, 2014 and one forty-eighth of the shares vest monthly thereafter.
- (3) One-fourth of the shares subject to the option will vest on April 30, 2015 and one forty-eighth of the shares vest monthly thereafter
- (4) One-fourth of the shares subject to the option will vest on August 7, 2015 and one forty-eighth of the shares vest monthly thereafter.

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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