Rocket Fuel Inc. Form 3

November 12, 2015

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

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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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

**SECURITIES** 

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] A Wootton Emmett Randolph III (Month/Day/Year) 11/02/2015 (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 \_X\_ Director \_X\_ Form filed by One Reporting \_X\_\_ Officer Other Person (give title below) (specify below) REDWOOD Form filed by More than One Chief Executive Officer CITY, CAÂ 94063 Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 2. Amount of Securities 4. Nature of Indirect Beneficial 1. Title of Security Beneficially Owned Ownership Ownership (Instr. 4)

Beneficially Owned Ownership Ownership
(Instr. 4) Form: (Instr. 5)
Direct (D)
or Indirect
(I)
(Instr. 5)

Common Stock  $53,750 \frac{(1)}{}$  D Â

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

SEC 1473 (7-02)

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Table II - Derivative Securities Beneficially Owned (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)		Ownership Be	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)	03/25/2025	Common Stock	15,000	\$ 9.68	D	Â
Employee Stock Option (right to buy)	(3)	04/28/2025	Common Stock	37,500	\$ 8.75	D	Â

### **Reporting Owners**

Reporting Owner Name / Address	Relationships						
reporting of the remain of transcoor	Director	10% Owner	Officer	Other			
Wootton Emmett Randolph III 1900 SEAPORT BLVD REDWOOD CITY, CA 94063	ÂΧ	Â	Chief Executive Officer	Â			

## **Signatures**

/s/ Ken Scully, as attorney-in-fact for Emmett Randolph
Wootton III

11/12/2015

\*\*Signature of Reporting Person

#### **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).
- 25,000 shares are represented by Restricted Stock Units ("RSUs"). One-fourth of the shares subject to the RSUs will vest on March 25,

Date

- (1) 2016 and one-eighth of the shares vest every six months thereafter. Additionally, 28,750 shares are represented by RSUs. One-fourth of the shares subject to the RSUs will vest on March 10, 2016 and one-eighth of the shares vest every six months thereafter.
- One-fourth of the shares subject to the option will vest and become exercisable on March 25, 2016 and one forty-eighth of the shares vest monthly thereafter.
- (3) One-fourth of the shares subject to the option will vest and become exercisable on March 4, 2016 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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