AMBARELLA INC

Form 4

December 18, 2015

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**OMB** 

**OMB APPROVAL** 

3235-0287 Number: January 31,

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**SECURITIES** Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section

may continue. 30(h) of the Investment Company Act of 1940 See Instruction 1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* Laplante George

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to Issuer

Symbol

(Last) (First) (Middle)

(Street)

(Ctata)

AMBARELLA INC [AMBA] 3. Date of Earliest Transaction

(Check all applicable)

3101 JAY STREET

(Month/Day/Year) 12/16/2015

Director 10% Owner X\_ Officer (give title \_\_ Other (specify

**CFO** 

below)

below)

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

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

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

SANTA CLARA, CA 95054

| (City)                               | (State)                              | Tabl  | e I - Non-D                            | <b>Derivative</b>              | Secui                        | rities Acq  | uired, Disposed o  | f, or Beneficial   | ly Owned  |
|--------------------------------------|--------------------------------------|---|--|--------------------------------|------------------------------|-------------|--|--|---|
| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transactic<br>Code<br>(Instr. 8) | 4. Securion(A) or D (Instr. 3, | ispose<br>4 and<br>(A)<br>or | ed of (D)   | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
| Ordinary<br>Shares                   | 12/16/2015                           |   | M                                      | 8,412                          | A                            | <u>(1)</u>  | 56,515   | D  |   |
| Ordinary<br>Shares                   | 12/16/2015                           |   | S(2)                                   | 4,903                          | D                            | \$<br>56.97 | 51,612   | 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<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transactic<br>Code<br>(Instr. 8) | 5. Number out Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | e Expiration I      | 6. Date Exercisable and Expiration Date (Month/Day/Year) |                    | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) |  |
|---|---|---|---|--|--|---------------------|--|--------------------|---|--|
|   |   |   |   | Code V                                 | (A) (D)  | Date<br>Exercisable | Expiration Date  | Title              | Amount<br>or<br>Number<br>of<br>Shares                        |  |
| Restricted<br>Stock<br>Units                        | (1)   | 12/16/2015                              |   | M                                      | 694  | (3)                 | 08/27/2022(3)  | Ordinary<br>Shares | 694   |  |
| Restricted<br>Stock<br>Units                        | (1)   | 12/16/2015                              |   | M                                      | 2,250  | (4)                 | 08/26/2023(4)  | Ordinary<br>Shares | 2,250   |  |
| Restricted<br>Stock<br>Units                        | (1)   | 12/16/2015                              |   | M                                      | 2,625  | (5)                 | 08/27/2023 <u>(5)</u>                                    | Ordinary<br>Shares | 2,625   |  |
| Restricted<br>Stock<br>Units                        | <u>(1)</u>  | 12/16/2015                              |   | M                                      | 2,843  | <u>(6)</u>          | 09/07/2024(6)  | Ordinary<br>Shares | 2,843   |  |

# **Reporting Owners**

| Reporting Owner Name / Address | Relationships |           |         |       |  |  |
|--------------------------------|---------------|-----------|---------|-------|--|--|
| r g                            | Director      | 10% Owner | Officer | Other |  |  |
| Laplante George                |               |           |         |       |  |  |
| 3101 JAY STREET                |               |           | CFO     |       |  |  |
| SANTA CLARA, CA 95054          |               |           |         |       |  |  |

# **Signatures**

By: /s/ Michael Morehead, Attorney in Fact For: George
Laplante

12/18/2015

\*\*Signature of Reporting Person 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) Each restricted stock unit represents a contingent right to receive one share of Ambarella, Inc. Ordinary Shares.
- (2) Shares sold to pay tax obligations resulting from the vesting of restricted stock award and restricted stock units.

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- (3) The restricted stock units vest at the rate of 1/16 per quarter beginning on September 15, 2012.
- (4) The RSUs vested as to 1/8 of the RSUs on June 15, 2014 and 1/8 of the RSU's will vest each three months thereafter such that the RSUs are 100% vested on March 15, 2016.
- (5) The restricted stock units vest at the rate of 1/16 per quarter beginning on September 15, 2013.
- (6) The restricted stock units vest at the rate of 1/16 per quarter beginning on September 15, 2014.

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.