Whalen Julie Form 4 April 22, 2019

# FORM 4

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

**OMB** 3235-0287 Number:

response...

5. Relationship of Reporting Person(s) to

D

D

D

**OMB APPROVAL** 

Check this box if no longer subject to

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

January 31, Expires: 2005 Estimated average burden hours per

0.5

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 See Instruction

**SECURITIES** 

30(h) of the Investment Company Act of 1940

2 Jaguar Nama and Tiakar or Trading

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \*

04/18/2019

04/18/2019

04/18/2019

Stock

Stock

Stock

Common

Common

Whalen Juli	e	Person _	Symbol			NOMA IN		Č	Issuer (Chase	, ,	,
(Last) 3250 VAN	(First) (I	Middle)	3. Date of (Month/E 04/18/2	ay/Year		ansaction			DirectorX_ Officer (give below)		Owner er (specify
SAN FRAN	(Street)	endment, Date Original nth/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				
(City)	(State)	(Zip)	Tabl	le I - Noi	n-D	erivative S	Securi	ities Acqu	uired, Disposed of	f, or Beneficial	ly Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	Execution any		Code (Instr. 8		4. Securitin(A) or Dis (Instr. 3, 4)	posed	of (D)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock	04/18/2019			M		5,746	A	\$ 0	37,175	D	
Common Stock	04/18/2019			F		2,849 (1)	D	\$ 57.62	34,326	D	
Common	04/18/2010			М		8 075	Δ	\$ 0	<i>42 4</i> 01	D	

M

F

M

8,075

4,004

17,533 A

(1)

\$0

\$0

42,401

38,397

55,930

A

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Common Stock	04/18/2019	F	8,693 (1)	D	\$ 57.62	47,237	D	
Common Stock	04/20/2019	M	4,117	A	\$0	51,354	D	
Common Stock	04/20/2019	F	2,042 (1)	D	\$ 57.31	49,312	D	
Common Stock						1,045	I	By Managed Account

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

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SEC 1474 (9-02)

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. Transaction Code (Instr. 8)	•		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount o Underlying Securities (Instr. 3 and 4)	
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Share
Restricted Stock Units	<u>(3)</u>	04/18/2019		M		5,746	<u>(4)</u>	<u>(5)</u>	Common Stock	5,746
Restricted Stock Units	<u>(3)</u>	04/18/2019		M		8,075	<u>(6)</u>	<u>(5)</u>	Common Stock	8,075
Restricted Stock Units	<u>(3)</u>	04/18/2019		M		17,533	<u>(7)</u>	<u>(5)</u>	Common Stock	17,533
Restricted Stock Units	<u>(3)</u>	04/18/2019		A	27,334		<u>(8)</u>	(5)	Common Stock	27,334
Restricted Stock Units	<u>(3)</u>	04/20/2019		M		4,117	<u>(9)</u>	(5)	Common Stock	4,117

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## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Whalen Julie 3250 VAN NESS AVE. SAN FRANCISCO, CA 94109

**EVP CHIEF FINANCIAL OFFICER** 

# **Signatures**

/s/ Phil Louridas, Attorney-in-Fact for Julie Whalen

04/22/2019

\*\*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) Represents the number of shares withheld upon vesting of restricted stock units to cover tax withholding obligations.
- (2) Represents the number of shares held by the reporting person in the Williams-Sonoma, Inc. Stock Fund under the Williams-Sonoma, Inc. 401(k) Plan, based on a statement dated April 18, 2019.
- (3) Each restricted stock unit represents a contingent right to receive one share of WSM common stock.
- (4) The restricted stock units vest in four equal installments on each anniversary of the grant date in 2017, 2018, 2019 and 2020. Vesting of these units was subject to a performance metric, which has been met.
- (5) The restricted stock units are cancelled upon vesting and delivery of shares of WSM common stock.
- (6) The restricted stock units vest in four equal installments on each anniversary of the grant date in 2019, 2020, 2021 and 2022.
- (7) Represents restricted stock units granted on April 18, 2016, which reflect the satisfaction of performance metrics. The restricted stock units vested on April 18, 2019, subject to continued service.
- (8) The restricted stock units vest in four equal installments on each anniversary of the grant date in 2020, 2021, 2022 and 2023.
- (9) The restricted stock units vest in four equal installments on each anniversary of the grant date in 2016, 2017, 2018 and 2019. Vesting of these units was subject to a performance metric, which has been met.

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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