

ARTIST ELLEN N.

Form 3

August 09, 2018

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

OMB APPROVAL

OMB Number: 3235-0104

Expires: January 31, 2005

Estimated average burden hours per response... 0.5

**INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF
SECURITIES**

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

(Print or Type Responses)

1. Name and Address of Reporting
Person *

ARTIST ELLEN N.

(Last) (First) (Middle)

410 N. 44TH STREET, SUITE
700

(Street)

PHOENIX, AZ 85008

(City) (State) (Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

08/09/2018

3. Issuer Name and Ticker or Trading Symbol
MESA AIR GROUP INC [MESA]4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

(Check all applicable)

☒ Director ☐ 10% Owner
☐ Officer ☐ Other
(give title below) (specify below)

6. Individual or Joint/Group
Filing(Check Applicable Line)
☒ Form filed by One Reporting
Person
☐ Form filed by More than One
Reporting Person

Table I - Non-Derivative Securities Beneficially Owned1. Title of Security
(Instr. 4)2. Amount of Securities
Beneficially Owned
(Instr. 4)3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)4. Nature of Indirect Beneficial
Ownership
(Instr. 5)

Common Stock

1,488

D

A

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

SEC 1473 (7-02)

**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 (e.g., puts, calls, warrants, options, convertible securities)1. Title of Derivative Security
(Instr. 4)2. Date Exercisable and
Expiration Date
(Month/Day/Year)

Date Exercisable

3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)

Title

4. Conversion
or Exercise
Price of
Derivative
Security5. Ownership
Form of
Derivative
Security:
Direct (D)6. Nature of
Indirect Beneficial
Ownership
(Instr. 5)

Edgar Filing: ARTIST ELLEN N. - Form 3

	Expiration Date			Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Restricted Stock Units	01/16/2019	Â (1)	Common Stock	14,648	\$ 0	D	Â
Stock Appreciation Rights	04/21/2016 ⁽²⁾	07/20/2025	Common Stock	25,000	\$ 6.4	D	Â
Stock Appreciation Rights	01/19/2017 ⁽³⁾	01/18/2026	Common Stock	25,000	\$ 7.1	D	Â
Stock Appreciation Rights	01/17/2018 ⁽⁴⁾	01/16/2027	Common Stock	27,381	\$ 5.5	D	Â
Restricted Stock Award	01/23/2018	Â (5)	Common Stock	2,978	\$ 0	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
ARTIST ELLEN N. 410 N. 44TH STREET, SUITE 700 PHOENIX, AZ 85008	Â X	Â	Â	Â

Signatures

/s/ Ellen N.
Artist

08/09/2018

**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).

- (1) Each restricted stock unit represents the right to receive, on a one-for-one basis, common stock of the Company. The restricted stock units shall vest annually in equal one-third increments beginning on January 16, 2019, until fully vested.
- (2) Cash-settled stock appreciation rights.
- (3) Cash-settled stock appreciation rights, of which 8,335 shares remain unvested.
- (4) Cash-settled stock appreciation rights, of which 18,253 shares remain unvested.
- (5) The restricted stock award vests as follows: Annually in equal one-third increments beginning on January 23, 2018, until fully vested.

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.