SEC Form 4

FORM 4

Check this box if no longer subject

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

| OMB Number: | 3235-0287 | | | | | | |
|--------------------------|-----------|--|--|--|--|--|--|
| Estimated average burden | | | | | | | |
| hours per response: | 0.5 | | | | | | |

| to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b). F | iled pursuant to Section 16(a) of the Securities Exchange Act of 193 or Section 30(h) of the Investment Company Act of 1940 | 4 | Estimated average burden hours per response: 0.5 | | |
|---|--|--|---|--|--|
| 1. Name and Address of Reporting Person [*] <u>Pearce William D</u> | 2. Issuer Name and Ticker or Trading Symbol OOMA INC [OOMA] | 5. Relationship of F (Check all applicab X Director Officer (gi | 10% Owner | | |
| (Last) (First) (Middle) C/O OOMA, INC. 525 ALMANOR AVE., SUITE 200 | 3. Date of Earliest Transaction (Month/Day/Year) 06/03/2020 | below) | below) | | |
| | 4. If Amendment, Date of Original Filed (Month/Day/Year) | 6. Individual or Joir Line) | t/Group Filing (Check Applicable | | |
| (Street) | | X Form filed | by One Reporting Person | | |
| SUNNYVALE CA 94085 | _ | Form filed Person | by More than One Reporting | | |
| (City) (State) (Zip) | | | | | |

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transa Code (8) | | 4. Securities A Disposed Of (5) | | | 5. Amount of Securities Beneficially Owned Following Reported | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--|---|------------------------------|---|--|---------------|--------|---|---|---|
| | | | Code | v | Amount | (A) or (D) | Price | Transaction(s) (Instr. 3 and 4) | | (1130. 4) |
| Common Stock | 06/03/2020 | | A | | 10,451(1) | Α | \$0.00 | 96,832 | D | |

| | 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. Transa Code (8) | | of | | 6. Date Exercisable and Expiration Date (Month/Day/Year) | | 7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4) | | 8. Price of Derivative Security (Instr. 5) | 9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4) | 10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) |
| | | | | Code | v | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | | | |

Explanation of Responses:

1. 100% of the total number of restricted stock units shall vest on the date of the Company's 2021 annual stockholder meeting, subject to the Reporting Person's continued service as a member of the Board.

Remarks:

| <u>/s/ William Pearce</u> | |
|---------------------------|--|
|---------------------------|--|

** Signature of Reporting Person Date

06/05/2020

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

 * 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.