# SEC Form 4

# FORM 4

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       |  |  |  |  |  |  |  |

| Instruction 1(b). Filed    |                      |                 | pursuant to Section 16(a) of the Securities Exchange Act of 1934      |   |                              |                                       |                       |  |  |
|----------------------------|----------------------|-----------------|---|---|------------------------------|---------------------------------------|-----------------------|--|--|
| .,                         |                      |                 | or Section 30(h) of the Investment Company Act of 1940                |   |                              |                                       |                       |  |  |
|                            | ss of Reporting Pers | on <sup>*</sup> | 2. Issuer Name <b>and</b> Ticker or Trading Symbol Five9, Inc. [FIVN] |   | ionship of F<br>all applicab | Reporting Person(s) to Issuer<br>lle) |                       |  |  |
| <u>ACOSTA JACK L</u>       |                      |                 | <u></u>   | Х   | Director                     |                                       | 10% Owner             |  |  |
| (Last)<br>C/O FIVE9, INC   | (First)              | (Middle)        | 3. Date of Earliest Transaction (Month/Day/Year)<br>05/12/2021        |   | Officer (gi<br>below)        | ve title                              | Other (specify below) |  |  |
| 3001 BISHOP DR., STE. #350 |                      |                 | 4. If Amendment, Date of Original Filed (Month/Day/Year)              | 6. Individual or Joint/Group Filing (Check Applicable |                              |                                       |                       |  |  |
| (Street)<br>SAN RAMON      | CA                   | 94583           |   | Line)   | Form filed                   | by One Repor                          | ting Person           |  |  |
|                            |                      |                 |   |   | Form filed<br>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<br>Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code (Instr.<br>8) |   |        |               |                   | 5. Amount of<br>Securities<br>Beneficially<br>Owned Following | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership |
|  |  |   | Code                                    | v | Amount | (A) or<br>(D) | Price             | Reported<br>Transaction(s)<br>(Instr. 3 and 4)                |   | (Instr. 4)  |
| Common Stock                           | 05/12/2021                                 |   | A                                       |   | 1,234  | Α             | \$ <mark>0</mark> | 3,018   | D   |   |
| Common Stock                           |  |   |   |   |        |               |                   | 40,579  | Ι   | By Trust  |

#### 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<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4.<br>Transa<br>Code (<br>8) |   | of<br>Deriv<br>Secu<br>Acqu<br>(A) of<br>Dispo<br>of (D)<br>(Instr | of Expiration Date (Month/Day/Year)<br>Securities<br>Sequired<br>A) or Disposed |                     | Deriv              | unt of<br>rities<br>rlying<br>ative<br>rity (Instr. | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 4) | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |
|   |   |  |   | Code                         | v | (A)  | (D)   | Date<br>Exercisable | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares              |  |  |  |  |

Explanation of Responses:

Remarks:

### /s/ David Hill, attorney in fact 05/13/2021

\*\* Signature of Reporting Person Date

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.

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See