SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

(Last) (First) (Middle) C/O FIVE9, INC., BISHOP RANCH 8, 4000 EXECUTIVE PARKWAY, SUITE 400 4. Relationship of Reporting Person(s) to Issuer (Check all applicable) 5. If Amendment, Date of Original Filed Month/Day/Year) SAN RAMON CA 94583 Officer (give title below) Other (specify below) 6. Individual or Joint/Group Filing (Check Applicable Line) City) (State) (Zip) Table 1 - Non-Derivative Securities Beneficially Owned (Instr. 4) 3. Ownership form: Direct (I) (Instr. 5) 4. Nature of Indirect Beneficial Ownership form: Direct (I) (Instr. 5) 1. Title of Derivative Security (Instr. 4) 2. Amount of Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible security (Instr. 4) 4. Nature of Indirect Beneficial Ownership form: Direct (I) (Instr. 5) 6. Nature of Indirect Beneficial Ownership Form: Direct (I) (Instr. 5) 6. Nature of Indirect Beneficial Ownership Form: Direct (I) (Instr. 5)	1. Name and Add Schollmeye	1 0	2. Date of Even Requiring State (Month/Day/Yea 04/03/2014	ment	3. Issuer Name and Ticker or Trading Symbol <u>Five9, Inc.</u> [FIVN]								
(Street) SAN CA 94583 Chief Technology Officer Chief Technology Officer Chief Technology Officer Applicable Line) X Form filed by One Reporting Person (City) (State) (Zip) Table 1 - Non-Derivative Securities Beneficially Owned 3. Ownership Form: Direct (D) (Instr. 5) 4. Nature of Indirect Beneficial Ownership Form: Direct (D) (Instr. 5) 4. Nature of Indirect Beneficial Ownership Form: Direct (D) (Instr. 5) 1. Title of Security (Instr. 4) 2. Amount of Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 4. Nature of Indirect Beneficial Ownership (Instr. 5) 1. Title of Derivative Security (Instr. 4) 2. Date Exercisable and Expiration Date (Month/Day/Year) 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4) 5. Nature of Indirect Ornership Or Exercise Price of (I) (Instr. 5) 6. Nature of Indirect Beneficial Ownership (Instr. 5)	C/O FIVE9, INC., BISHOP RANCH 8,					(Check all applicable) Director		10% Owner					
SAN RAMON CA 94583 (City) (State) (Zip) Table 1 - Non-Derivative Securities Beneficially Owned 1. Title of Security (Instr. 4) 2. Amount of Securities Beneficially Owned (Instr. 4) 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) 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) 3. Title and Amount of Security Underlying Derivative Security (Instr. 4) 4. Conversion or Exercise Price of Derivative Security 5. Ownership or Exercise Price (D) or Indirect (D) or In	4000 EXECUTIVE PARKWAY, SUITE 400					X	below)	below)	cify				
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Expiration Date (Month/Day/Year) Underlying Derivative Security (Instr. 4) Conversion or Exercise Price of Derivative Security Ownership Form: Direct (D) Beneficial Ownership (Instr. 5)													
Amount or Number Amount or Security (I) (Instr. 5)	1. Title of Derivative Security (Instr. 4)			Expiration Date				(Instr. 4) Con or E		ercise	Ownership Form:	Beneficial Ownership	
Exercisable Date Title Shares				Date Exercisable				or Number of	Derivative		or Indirect		
Stock Option (right to buy) (1) 07/28/2021 Common stock 320,000 0.68 D	Stock Option (right to buy)			(1)	07/28/2021	1	Common stock	320,000	0.0	58	D		
Stock Option (right to buy) (2) 11/22/2023 Common stock 25,000 9.48 D	Stock Option (right to buy)			(2)	11/22/2023	3	Common stock	25,000	9.4	48	D		

Explanation of Responses:

1. Option began vesting with respect to 25% of the shares subject to the option one year after July 25, 2011, and with respect to the remaining 75% of the shares subject to the option in 36 equal monthly installments thereafter.

2. Option began vesting in 48 substantially equal monthly installments beginning on the one-month anniversary of November 22, 2013.

Remarks:

Exhibit List Exhibit 24 - Limited Power of Attorney

<u>/s/ Frances Dea, attorney-in-</u>

fact

04/03/2014

** 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 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).

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.

LIMITED POWER OF ATTORNEY FOR SECTION 13 AND SECTION 16 REPORTING

KNOW ALL PERSONS BY THESE PRESENTS, that the undersigned hereby makes, constitutes and appoints Barry Zwarenstein, David Hill, Timothy R. Curry, Ruben A. Garcia and Frances P. Dea, and each of them, as the undersigned's true and lawful attorney-in-fact (the "Attorney-in-Fact"), with full power of substitution and resubstitution, each with the power to act alone for the undersigned and in the undersigned's name, place and stead, in any and all capacities to:

1. Prepare, execute in the undersigned's name and on the undersigned's behalf, and submit to the Securities and Exchange Commission ("SEC") a Form ID, including amendments thereto, and any other documents necessary or appropriate to obtain codes and passwords enabling the undersigned to make electronic filings with the SEC of reports required or considered advisable under Section 13 or Section 16 of the Securities Exchange Act of 1934 (the "Exchange Act") or any rule or regulation of the SEC;

2. Prepare, execute and submit to the SEC, any national securities exchange or securities quotation system and Five9, Inc. (the "Company") any and all reports (including any amendment thereto) of the undersigned required or considered advisable under Section 13 or Section 16 of the Exchange Act and the rules and regulations thereunder, with respect to the equity securities of the Company, including Forms 3, 4 and 5 and Schedule 13D or 13G; and

3. Obtain, as the undersigned's representative and on the undersigned's behalf, information regarding transactions in the Company's equity securities from any third party, including the Company and any brokers, dealers, employee benefit plan administrators and trustees, and the undersigned hereby authorizes any such third party to release any such information to the Attorney-in-Fact.

The undersigned acknowledges that:

(a) This Limited Power of Attorney authorizes, but does not require, the Attorney-in-Fact to act at his or her discretion on information provided to such Attorney-in-Fact without independent verification of such information;

(b) Any documents prepared or executed by the Attorney-in-Fact on behalf of the undersigned pursuant to this Limited Power of Attorney will be in such form and will contain such information as the Attorney-in-Fact, in his or her discretion, deems necessary or desirable;

(c) Neither the Company nor the Attorney-in-Fact assumes any liability for the undersigned's responsibility to comply with the requirements of Section 13 or Section 16 of the Exchange Act, any liability of the undersigned for any failure to comply with such requirements, or any liability of the undersigned for disgorgement of profits under Section 16(b) of the Exchange Act; and

(d) This Limited Power of Attorney does not relieve the undersigned from responsibility for compliance with the undersigned's obligations under Section 13 or Section 16 of the Exchange Act, including, without limitation, the reporting requirements under Section 13 or Section 16 of the Exchange Act.

The undersigned hereby grants to the Attorney-in-Fact full power and authority to do and perform each and every act and thing requisite, necessary or convenient to be done in connection with the foregoing, as fully, to all intents and purposes, as the undersigned might or could do in person, hereby ratifying and confirming all that the Attorney-in-Fact, or his or her substitute or substitutes, shall lawfully do or cause to be done by authority of this Limited Power of Attorney.

This Limited Power of Attorney shall remain in full force and effect until the undersigned is no longer required to file Forms 4 or 5 or Schedule 13D or 13G with respect to the undersigned's holdings of and transactions in equity securities of the Company, unless earlier revoked by the undersigned in a signed writing delivered to the Attorney-in-Fact. This Limited Power of Attorney revokes all previous powers of attorney with respect to the subject matter of this Limited Power of Attorney.

IN WITNESS WHEREOF, the undersigned has executed this Limited Power of Attorney as of March 26, 2014.

/s/ Tom Schollmeyer Name: Tom Schollmeyer