SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this box if no longer subject to
Section 16. Form 4 or Form 5
obligations may continue. See
Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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

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

1	ss of Reporting Persor Partners IV, L.I		2. Issuer Name and Ticker or Trading Symbol Five9, Inc. [FIVN]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)						
Partech U.S.	<u>Parmers rv, L.</u>	<u></u>			Director	Х	10% Owner			
(Last) 50 CALIFORNI	(First) A ST., STE 3200	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 04/03/2014	-	Officer (give title below)		Other (specify below)			
(Street) SAN FRANCISCO	СА	94111	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line) X	idual or Joint/Group F Form filed by One F Form filed by More Person	eporti	ng Person			
(City)	(State)	(Zip)								

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

1. Title of Security (Instr. 3)	urity (Instr. 3) 2. Transaction Date (Month/Day/Year) 2. Transaction if any (Month/Day/Year) 2. Transaction if any (Month/Day/Year) 2. Transaction Code (Instr. 8) 3. Transaction Code (Instr. 8) 4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 a)					(A) or 3, 4 and 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	
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	04/03/2014		X		19,510	A	\$0.00	3,512,801	D	
Common Stock	04/03/2014		S		1,818	D	\$7	3,510,983	D	
Common Stock	04/03/2014		x		3,207	A	\$0.00	678,428	I	By Partech International Growth Capital I L.L.C. ⁽¹⁾⁽²⁾⁽³⁾
Common Stock	04/03/2014		S		300	D	\$7	678,128	Ι	By Partech International Growth Capital I L.L.C. ⁽¹⁾⁽²⁾⁽³⁾
Common Stock	04/03/2014		x		5,284	A	\$0.00	1,117,617	Ι	By Partech International Growth Capital II L.L.C. ⁽¹⁾⁽²⁾⁽³⁾
Common Stock	04/03/2014		S		493	D	\$7	1,117,124	I	By Partech International Growth Capital II L.L.C. ⁽¹⁾⁽²⁾⁽³⁾
Common Stock	04/03/2014		x		3,207	A	\$0.00	678,430	I	By Partech International Growth Capital III L.L.C. ⁽¹⁾⁽²⁾⁽³⁾
Common Stock	04/03/2014		S		300	D	\$7	678,130	I	By Partech International Growth Capital III L.L.C. ⁽¹⁾⁽²⁾⁽³⁾
Common Stock	04/03/2014		x		1,305	A	\$0.00	276,225	I	By AXA Growth Capital II L.P. ⁽¹⁾⁽²⁾⁽³⁾
Common Stock	04/03/2014		S		122	D	\$7	276,103	I	By AXA Growth Capital II L.P. ⁽¹⁾⁽²⁾⁽³⁾
Common Stock	04/03/2014		x		135	A	\$0.00	24,594	I	By 45th Parallel L.L.C. ⁽¹⁾⁽²⁾⁽³⁾

1. Title of	Date			Date	nsaction n/Day/Ye	Execution Date,			3. Transa Code (I 8)		4. Securities Disposed Of			5. Amount Securities Beneficially Owned Fol Reported	y	6. Own Form: I (D) or II (I) (Inst	Direct In ndirect B r.4) O	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
									Code	v	Amount	(A) or (D)	Price	Transaction (Instr. 3 and				13u. 4j	
Common	04/03/2014		4			S		14	D	\$7	24,580		I		By 45th Parallel L.L.C. ⁽¹⁾⁽²⁾⁽³⁾				
Common	Stock			04/03/2014		4			x		135	A	\$0.00	24,5	94	I		y Par SF , L.L.C. ⁽¹⁾	
Common Stock)3/201	4			S		14	D	\$7	24,58	80		I II	y Par SF , L.L.C. ⁽¹⁾	
			Table I								posed of, convertil			Owned					
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemo Execution if any (Month/Da	ed Date,	4. Transa Code (8)	actior	5. N of Deri Sec Acq (A) Disj of (I	umber vative urities uired	6. Date E Expiratio (Month/D	kercis n Date	able and	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Numb derivati Securiti Benefic Owned Followin Reporte Transac (Instr. 4)	ve ies ially ng ed ction(s)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature Indirect Beneficial Ownership (Instr. 4)	
					Code	v	(A)	(D)	Date Exercisal		Expiration Date	Title	Amount or Number of Shares						
Warrant (right to buy common stock)	\$0.652	04/03/2014			x			7,804	02/28/20	08 (04/09/2014 ⁽⁴⁾	Common Stock	7,804	\$0.00	0)	D		
Warrant (right to buy common stock)	\$0.652	04/03/2014			x			1,283	02/28/20	08 (04/09/2014 ⁽⁴⁾	Common Stock	1,283	\$0.00	0)	Ι	By Partech Internation Growth Capital I L.L.C. ⁽¹⁾⁽²⁾	
Warrant (right to buy common stock)	\$0.652	04/03/2014			x			2,114	02/28/20	08 (04/09/2014 ⁽⁴⁾	Common Stock	2,114	\$0.00	0)	I	By Partech Internation Growth Capital II L.L.C. ⁽¹⁾⁽²	
Warrant (right to buy common stock)	\$0.652	04/03/2014			x			1,283	02/28/20	08 (04/09/2014 ⁽⁴⁾	Common Stock	1,283	\$0.00	0)	I	By Partech Internation Growth Capital III L.L.C. ⁽¹⁾⁽²	
Warrant (right to buy common stock)	\$0.652	04/03/2014			x			522	02/28/20	08 (04/09/2014 ⁽⁴⁾	Common Stock	522	\$0.00	0)	I	By AXA Growth Capital II L.P. ⁽¹⁾⁽²⁾⁽³	
Warrant (right to buy common stock)	\$0.652	04/03/2014			x			54	02/28/20	08 (04/09/2014 ⁽⁴⁾	Common Stock	54	\$0.00	0)	I	By 45th Parallel L.L.C. ⁽¹⁾⁽²	
Warrant (right to buy common stock)	\$0.652	04/03/2014			x			54	02/28/20	08 (04/09/2014 ⁽⁴⁾	Common Stock	54	\$0.00	0)	I	By Par SF L.L.C. ⁽¹⁾⁽²	
Warrant (right to buy common stock)	\$0.652	04/03/2014			x			11,706	07/15/20	08 (04/09/2014 ⁽⁵⁾	Common Stock	11,706	\$0.00	0		D		
Warrant (right to buy common stock)	\$ 0.652	04/03/2014			x			1,924	07/15/20	08 ()4/09/2014 ⁽⁵⁾	Common Stock	1,924	\$0.00	0		Ι	By Partech Internation Growth Capital I L.L.C. ⁽¹⁾⁽²	
Warrant (right to buy common stock)	\$0.652	04/03/2014			x			3,170	07/15/20	08 ()4/09/2014 ⁽⁵⁾	Common Stock	3,170	\$0.00	0		I	By Partech Internation Growth Capital II L.L.C. ⁽¹⁾⁽²	
Warrant (right to buy common stock)	\$ 0.652	04/03/2014			x			1,924	07/15/20	08 ()4/09/2014 ⁽⁵⁾	Common Stock	1,924	\$0.00	0		Ι	By Partech Internation Growth Capital III L.L.C. ⁽¹⁾⁽²	
Warrant (right to buy common stock)	\$0.652	04/03/2014			x			783	07/15/20	08 (04/09/2014 ⁽⁵⁾	Common Stock	783	\$0.00	0		I	By AXA Growth Capital II L.P. ⁽¹⁾⁽²⁾⁽³	

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)	action (Instr.	of Deri Secu Acqu (A) c Disp of (D	umber vative urities uired or oosed O) (Instr. and 5)	Expiration Date (Month/Day/Year) ities red (Instr.		of Securities Underlying Derivative Security (Instr. 3 and 4)			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				
Warrant (right to buy common stock)	\$0.652	04/03/2014		x			81	07/15/2008	04/09/2014 ⁽⁵⁾	Common Stock	81	\$0.00	0	I	By 45th Parallel L.L.C. ⁽¹⁾⁽²⁾⁽³⁾
Warrant (right to buy common stock)	\$0.652	04/03/2014		x			81	07/15/2008	04/09/2014 ⁽⁵⁾	Common Stock	81	\$0.00	0	I	By Par SF II, L.L.C. ⁽¹⁾⁽²⁾⁽³⁾
		Reporting Person [*]			4	Γ				1	I <u> </u>				
(Last) 50 CALI	IFORNIA S	(First) T., STE 3200	(Middle)												
(Street) SAN FR	ANCISCO	СА	94111												
(City)		(State)	(Zip)												
		Reporting Person [*] onal Growth		<u></u>		1									
(Last) 50 CALI	IFORNIA S	(First) T., STE 3200	(Middle)												
(Street) SAN FR	ANCISCO	СА	94111												
(City)		(State)	(Zip)												
		Reporting Person [*] onal Growth		<u>.C</u>											
(Last) 50 CALI	IFORNIA S	(First) T., STE 3200	(Middle)												
(Street) SAN FR	ANCISCO	СА	94111												
(City)		(State)	(Zip)												
		Reporting Person [*] onal Growth		L <u>C</u>											
(Last) 50 CALI	IFORNIA S	(First) T., STE 3200	(Middle)												
(Street) SAN FR	ANCISCO	СА	94111												
(City)		(State)	(Zip)												
		Reporting Person [*] apital II LP													
(Last) 50 CALI	IFORNIA S	(First) T., STE 3200	(Middle)												
(Street)															

SAN FRANCISCO	СА	94111
(City)	(State)	(Zip)
1. Name and Address of 45th Parallel LL		
(Last) 50 CALIFORNIA S	(First) T., STE 3200	(Middle)
(Street) SAN FRANCISCO	CA	94111
(City)	(State)	(Zip)
1. Name and Address of PAR SF II, L.L.C		
(Last) 50 CALIFORNIA S	(First) T., STE 3200	(Middle)
(Street) SAN FRANCISCO	CA	94111
(City)	(State)	(Zip)
1. Name and Address of 46th Parallel LL		
(Last) 50 CALIFORNIA S	(First) T., STE 3200	(Middle)
(Street) SAN FRANCISCO	CA	94111
(City)	(State)	(Zip)
1. Name and Address of <u>47th Parallel LL</u>		
(Last) 50 CALIFORNIA S	(First) T., STE 3200	(Middle)
(Street) SAN FRANCISCO	CA	94111
(City)	(State)	(Zip)
1. Name and Address of <u>48th Parallel LL</u>		
(Last) 50 CALIFORNIA S	(First) T., STE 3200	(Middle)
(Street) SAN FRANCISCO	CA	94111
(City)	(State)	(Zip)
Explanation of Respons	es:	

Explanation of Responses:

1. Vincent R. Worms is (A) the sole member of Par SF II L.L.C. ("Par SF"), (B) the managing member of 47th Parallel, L.L.C. ("47th Parallel"), which is the managing member of Partech U.S. Partners IV, L.L.C. ("Partech US"), (C) the managing member of 45th Parallel L.L.C. ("45th Parallel"), which is the managing member of 46th Parallel L.L.C. ("46th Parallel"), which is the managing member of Partech International Growth Capital I L.L.C. ("Partech II") and Partech International Growth Capital II L.L.C. ("Partech III")

2. (Continued from footnote1) and (D) the managing member of 48th Parallel L.L.C. ("48th Parallel"), which is the investment general partner of AXA Growth Capital II L.P. ("AXA").

3. Vincent R. Worms may be deemed to have voting control and investment power over the securities held by Par SF, Partech US, 45th Parallel, Partech II, Partech II, Partech III and AXA, but disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein.

4. The warrants are exercisable, in whole or in part, until the earliest to occur of (i) the seven (7)-year anniversary of February 28, 2008; or (ii) the issuance and sale of shares of the Company's common stock in the Company's first underwritten public offering pursuant to an effective registration statement.

5. The warrants are exercisable, in whole or in part, until the earliest to occur of (i) the seven (7)-year anniversary of July 15, 2008; or (ii) the issuance and sale of shares of the Company's common stock in the Company's first underwritten public offering pursuant to an effective registration statement.

Remarks:

Form 1 of 2.

<u>/s/ Vincent R. Worms, managing</u> 04/07/2014 member of 47th Parallel,

L.L.C., the managing member of the Reporting Person /s/ Vincent R. Worms, managing member of 45th Parallel, L.L.C., the managing member 04/07/2014 of 46th Parallel, L.L.C., the managing member of the <u>Reporting Owner</u> /s/ Vincent R. Worms, managing member of 45th Parallel, L.L.C., the managing member 04/07/2014 of 46th Parallel, L.L.C., the managing member of the Reporting Owner /s/ Vincent R. Worms, managing member of 45th Parallel, L.L.C., the managing member 04/07/2014 of 46th Parallel, L.L.C., the managing member of the Reporting Owner /s/ Vincent R. Worms, managing member of 48th Parallel, 04/07/2014 L.L.C., the Investment General Partner of the Reporting Owner /s/ Vincent R. Worms, managing 04/07/2014 member of the Reporting Owner /s/ Vincent R. Worms, sole 04/07/2014 member of the Reporting Owner /s/ Vincent R. Worms, managing member of 45th Parallel, 04/07/2014 L.L.C., the managing memebr of the Reporting Owner /s/ Vincent R. Worms, managing member of 47th Parallel, 04/07/2014 L.L.C., the Reporting Owner /s/ Vincent R. Worms, managing 04/07/2014 member of the Reporting Owner ** 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.