SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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

1. Name and Addre Alexy Kimbe	ss of Reporting Perso erly	on*		er Name and Ticke 9 <u>, Inc.</u> [FIVN		ymbol		tionship of Reportin all applicable) Director	ng Person(s) to Issuer 10% Owner		
(Last) C/O FIVE9, INC		(Middle)	3. Date 10/04,	e of Earliest Transa /2022	ction (Month/[Day/Year)		Officer (give title below)	Other below	(specify)	
3001 BISHOP DR., STE. #350			4. If An	nendment, Date of	Original Filed	(Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)				
(Street)							X	Form filed by One	e Reporting Pers	son	
SAN RAMON	CA	94583						Form filed by Mor Person	e than One Rep	orting	
(City)	(State)	(Zip)									
	Та	able I - Non-D	Derivative S	ecurities Acq	uired, Disp	oosed of, or Benefi	cially	Owned			
1. Title of Security (Instr. 3) Date (Month/Date)				2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) Disposed Of (D) (Instr. 3, 4 5)		5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership	

	(· · ·)	8)					Owned Following Reported	(I) (Instr. 4)	Ownership (Instr. 4)
		Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150. 4)
Common Stock	10/04/2022	М		2,500	Α	\$8.48	13,617	D	
Common Stock	10/04/2022	S		2,500 ⁽¹⁾	D	\$78.67	11,117	D	

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

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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)		5. Number of Expiration Date Derivatives Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		ate	nd 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				
Stock Option (right to buy)	\$8.48	10/04/2022		М			2,500	(2)	10/28/2023	Common Stock	2,500	\$0	15,000	D	

Explanation of Responses:

1. The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on March 13, 2022.

2. Option began vesting in 48 substantially equal monthly installments on the one-month anniversary of October 28, 2013.

Remarks:

/s/ David Hill, attorney-in-fact 10/06/2022

** 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.