Zuckerberg Mark
Form 4
March 14, 2018

# FORM 4

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

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

OMB APPROVAL

| | |
|---|---|
| OMB Number: | 3235-0287 |
| Expires: | January 31, 2005 |
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(Print or Type Responses)

1. Name and Address of Reporting Person *
Zuckerberg Mark

(Last) (First) (Middle)

C/O FACEBOOK, INC., 1601 WILLOW ROAD

(Street)

MENLO PARK, CA 94025

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading Symbol
Facebook Inc [FB]

3. Date of Earliest Transaction (Month/Day/Year)
03/14/2018

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

__X__ Director __X__ 10% Owner
__X__ Officer (give title below) _____ Other (specify below)
COB and CEO

6. Individual or Joint/Group Filing(Check Applicable Line)
_X_ Form filed by One Reporting Person
___ Form filed by More than One Reporting Person

**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. Transaction Code (Instr. 8) | | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | | | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 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 | | | |
| Class A Common Stock | 03/14/2018 | | S[(1)] | | 38,196 | D | $ 182.5204 [(2)] | 8,352,054 | I | By Chan Zuckerberg Foundation [(3)] |
| Class A Common Stock | 03/14/2018 | | S[(1)] | | 39,668 | D | $ 183.4088 [(4)] | 8,312,386 | I | By Chan Zuckerberg Foundation [(3)] |
| Class A Common Stock | 03/14/2018 | | S[(1)] | | 14,636 | D | $ 183.9882 [(5)] | 8,297,750 | I | By Chan Zuckerberg Foundation [(3)] |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| Class A Common Stock | 03/14/2018 | C | 127,500 | A | $ 0 | 127,500 | I | By CZI Holdings, LLC (6) |
| Class A Common Stock | 03/14/2018 | S(1) | 54,565 | D | $ 182.5391 (7) | 72,935 | I | By CZI Holdings, LLC (6) |
| Class A Common Stock | 03/14/2018 | S(1) | 55,967 | D | $ 183.4711 (8) | 16,968 | I | By CZI Holdings, LLC (6) |
| Class A Common Stock | 03/14/2018 | S(1) | 16,968 | D | $ 184.0118 (9) | 0 | I | By CZI Holdings, LLC (6) |
| Class A Common Stock | 03/14/2018 | S(10) | 3,700 | D | $ 182.5476 (11) | 468,668 | I | By Mark Zuckerberg, Trustee Of The Mark Zuckerberg 2014 GRAT No. 2 Dated 5/8/2014 (12) |
| Class A Common Stock | 03/14/2018 | S(10) | 4,000 | D | $ 183.594 (13) | 464,668 | I | By Mark Zuckerberg, Trustee Of The Mark Zuckerberg 2014 GRAT No. 2 Dated 5/8/2014 (12) |
| Class A Common Stock | 03/14/2018 | S(10) | 300 | D | $ 184.0467 (14) | 464,368 | I | By Mark Zuckerberg, Trustee Of The Mark Zuckerberg 2014 GRAT No. 2 Dated 5/8/2014 (12) |
| Class A Common Stock | 03/14/2018 | S(10) | 3,958 | D | $ 182.5469 (15) | 560,807 | I | By Mark Zuckerberg, Trustee Of The Mark Zuckerberg 2014 GRAT No. 3 Dated 5/8/2014 (16) |
| Class A Common Stock | 03/14/2018 | S(10) | 4,100 | D | $ 183.5156 (17) | 556,707 | I | By Mark Zuckerberg, Trustee Of |

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | The Mark Zuckerberg 2014 GRAT No. 3 Dated 5/8/2014 (16) |
| Class A Common Stock | 03/14/2018 | | S(10) | 942 | D | $ 184.0334 (18) | 555,765 | I | By Mark Zuckerberg, Trustee Of The Mark Zuckerberg 2014 GRAT No. 3 Dated 5/8/2014 (16) |
| Class A Common Stock | 03/14/2018 | | S(19) | 4,390 | D | $ 182.624 (20) | 28,510 | I | By Chan Zuckerberg Advocacy (21) |
| Class A Common Stock | 03/14/2018 | | S(19) | 4,010 | D | $ 183.721 (22) | 24,500 | I | By Chan Zuckerberg Advocacy (21) |

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

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SEC 1474 (9-02)

**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. Transaction Code (Instr. 8) | | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | 6. Date Exercisable and Expiration Date (Month/Day/Year) | | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | Code | V | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Class B Common Stock (23) | (23) | 03/14/2018 | | C | | | 127,500 | (23) | (23) | Class A Common Stock | 127,500 |
| Class B Common Stock (23) | (23) | | | | | | | (23) | (23) | Class A Common Stock | 1,908,602 |

| | | | | | | |
|---|---|---|---|---|---|---|
| Class B Common Stock (23) | (23) | | (23) | (23) | Class A Common Stock | 5,676,058 |

# Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---|---|---|---|
| | Director | 10% Owner | Officer | Other |
| Zuckerberg Mark<br>C/O FACEBOOK, INC.<br>1601 WILLOW ROAD<br>MENLO PARK, CA 94025 | X | X | COB and CEO | |

# Signatures

| | |
|---|---|
| /s/ Michael Johnson as attorney-in-fact for Mark Zuckerberg | 03/14/2018 |
| **Signature of Reporting Person | Date |

# Explanation of Responses:

***** 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).

**(1)** The sales reported were effected by Mark Zuckerberg, Trustee and Settlor of the Chan Zuckerberg Foundation ("CZ Foundation") and CZI Holdings, LLC ("CZI"), as applicable, pursuant to their Rule 10b5-1 trading plans. These sales are part of the plan Mr. Zuckerberg announced in September 2017 to sell 35 million to 75 million Facebook shares over approximately 18 months from the date of that announcement in order to fund the philanthropic initiatives of Mr. Zuckerberg and his wife, Priscilla Chan, in education, science and advocacy.

**(2)** The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from $181.87 to $182.86 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.

**(3)** Shares held of record by CZ Foundation. The reporting person is deemed to have voting and investment power over the shares held by CZ Foundation, but has no pecuniary interest in these shares.

**(4)** The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from $182.87 to $183.86 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.

**(5)** The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from $183.87 to $184.16 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.

**(6)** Shares held of record by CZI. Mark Zuckerberg, Trustee of The Mark Zuckerberg Trust dated July 7, 2006 ("2006 Trust") is the sole member of CZI. Mr. Zuckerberg is the sole trustee of the 2006 Trust and, therefore, is deemed to have sole voting and investment power over the securities held by CZI.

**(7)**

The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from $181.91 to $182.90 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.

**(8)** The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from $182.91 to $183.90 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.

**(9)** The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from $183.91 to $184.16 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.

**(10)** The sales reported were effected by Mark Zuckerberg, Trustee of The Mark Zuckerberg 2014 GRAT No. 2, dated 5/8/2014 and Mark Zuckerberg, Trustee of The Mark Zuckerberg 2014 GRAT No. 3, dated 5/8/2014, as applicable, pursuant to their Rule 10b5-1 trading plans.

**(11)** The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from $182.00 to $182.97 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.

**(12)** Shares held of record by Mark Zuckerberg, Trustee of The Mark Zuckerberg 2014 GRAT No. 2, dated 5/8/2014.

**(13)** The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from $183.00 to $183.99 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.

**(14)** The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from $184.01 to $184.07 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.

**(15)** The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from $181.94 to $182.91 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.

**(16)** Shares held of record by Mark Zuckerberg, Trustee of The Mark Zuckerberg 2014 GRAT No. 3, dated 5/8/2014.

**(17)** The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from $182.97 to $183.95 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.

**(18)** The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from $184.00 to $184.11 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.

**(19)** The sales reported were effected by Chan Zuckerberg Advocacy pursuant to its Rule 10b5-1 trading plan. These sales are part of the plan Mr. Zuckerberg announced in September 2017 to sell 35 million to 75 million Facebook shares over approximately 18 months from the date of that announcement in order to fund the philanthropic initiatives of Mr. Zuckerberg and his wife, Priscilla Chan, in education, science and advocacy.

**(20)** The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from $182.18 to $183.15 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.

**(21)** Shares held of record by Chan Zuckerberg Advocacy. The reporting person is deemed to have voting and investment power over the shares held by Chan Zuckerberg Advocacy, but has no pecuniary interest in these shares.

**(22)** The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from $183.20 to $184.15 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of

the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.

**(23)** The Class B Common Stock is convertible into the issuer's Class A Common Stock on a 1-for-1 basis (a) at the holder's option or (b) upon certain transfers of such shares and has no expiration date.

**(24)** Shares held of record by Mark Zuckerberg, Trustee of the 2006 Trust.

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