

Sawyer Robert M
Form 4
November 22, 2017

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 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
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(Print or Type Responses)

1. Name and Address of Reporting Person *
Sawyer Robert M

(Last) (First) (Middle)

C/O LIMONEIRA
COMPANY, 1141 CUMMINGS
ROAD

(Street)

SANTA PAULA, CA 93060

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol

Limoneira CO [LMNR]

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

11/21/2017

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner
☐ Officer (give title below) ☐ Other (specify below)

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ 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			
Common Stock	11/21/2017		G ⁽¹⁾	V	53,925	D	\$ 0	0	I	By Trust ⁽²⁾
Common Stock	11/21/2017		G ⁽¹⁾	V	8,504	D	\$ 0	0	I	By Trust ⁽³⁾
Common Stock								60,134	I	By Trust ⁽⁴⁾
Common Stock								60,010	I	By Trust ⁽⁵⁾

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)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Transaction (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Sawyer Robert M C/O LIMONEIRA COMPANY 1141 CUMMINGS ROAD SANTA PAULA, CA 93060		X		

Signatures

/s/ Robert M. Sawyer, by Don P. Delmatoff and Joseph D. Rumley as
attorneys-in-fact

11/22/2017

____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 following transactions are in respect to the winding-up of the Sawyer Family Survivor's Trust and the Sawyer Family Bypass Trust upon the death of the surviving settlor pursuant to the terms of such trusts.

Reflects shares indirectly held by the Reporting Person in the Sawyer Family Bypass Trust. Mr. Sawyer became a co-trustee of the Sawyer Family Bypass Trust in 2014. The Reporting Person disclaims beneficial ownership of shares of Issuer common stock held by the trust except to the extent of his pecuniary interest therein.

Reflects shares indirectly held by the Reporting Person in the Sawyer Family Survivor's Trust. Mr. Sawyer became a co-trustee of the Sawyer Family Survivor's Trust in 2014. The Reporting Person disclaims beneficial ownership of shares of Issuer common stock held by the trust except to the extent of his pecuniary interest therein.

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(4) Shares beneficially owned by the Reporting Person through the Sawyer Family 2004 Revocable Trust u/t/a/ dated July 22, 2004.

(5) Shares beneficially owned by the Reporting Person through the Robert McGahie Sawyer Separate GST Trust.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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