SEC Form 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

5. Relationship of Reporting Person(s) to Issuer

OMB Number:	3235-0287
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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

1. Name and Address of Reporting Person*

FORM 4

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

2. Issuer Name and Ticker or Trading Symbol

1. Name and Address of Reporting Person Jones Mark Evan				Goosehead Ins					(Check all applicable) X Director X 10% Owner X Officer (give title X Other (specify				
(Last) C/O GOOSEHE 1500 SOLANA	3. Date of Earliest Tr 10/15/2020	ansactio	on (Mo	nth/Day/Year)	X Officer (give title X Officer (specify below) CEO / Member of 10% owner group								
(Street) WESTLAKE	TX	4. If Amendment, Da	te of Ori	ginal I	Filed (Month/E		6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting						
(City)	(State)	(Zip)							Person				
		Table I -	1	tive Securities	· ·	red,							
1. Title of Security	1. Title of Security (Instr. 3)		2. Transaction Date (Month/Day/Yea	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)					Beneficially Owned Following Reported	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	Transaction(s) (Instr. 3 and 4)			
Class B Common	1 Stock		10/15/2020)	С		29,571	D	\$ <mark>0</mark>	12,944,785	I	By Trust ⁽¹⁾	
Class A Common Stock			10/15/2020)	С		29,571	A	\$0	29,571	I	By Mark and Robyn Jones Descendants Trust 2014	
Class A Common Stock			10/15/2020)	S		200	D	\$97.13	²⁾ 29,371	I	By Mark and Robyn Jones Descendants Trust 2014	
Class A Common Stock 1		10/15/2020)	S		1,100	D	\$97.76	³⁾ 28,271	I	By Mark and Robyn Jones Descendants Trust 2014		
Class A Common	1 Stock		10/15/2020)	S		1,812	D	\$99.37	⁴⁾ 26,459	I	By Mark and Robyn Jones Descendants Trust 2014	
Class A Common	1 Stock		10/15/2020)	S		1,987	D	\$100.31	(5) 24,472	I	By Mark and Robyn Jones Descendants Trust 2014	
Class A Common	ı Stock		10/15/2020)	S		2,003	D	\$101.49	(6) 22,469	I	By Mark and Robyn Jones Descendants Trust 2014	
Class A Common	ı Stock		10/15/2020)	s		3,813	D	\$102.6	5 18,656 ⁽⁷⁾	I	By Mark and Robyn Jones Descendants Trust 2014	
Class A Common	ı Stock		10/15/2020)	S		12,528	D	\$103.69	⁽⁸⁾ 6,128	I	By Mark and Robyn Jones Descendants Trust 2014	
Class A Common	1 Stock		10/15/2020)	S		6,128	D	\$104.38	(9) 0	I	By Mark and Robyn Jones Descendants Trust 2014	

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)	Code (Instr.		4. Securities Acquired (A) or Disposed Of (D) (Instr. 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)	
Class A Common Stock ⁽¹⁰⁾								286,201	D		
Class B Common Stock ⁽¹⁰⁾								182,349	D		

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

	(e.g., puts, cans, 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)	Code (5. Number of e (Instr. Executive Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)			6. Date Exerc Expiration Da (Month/Day/)	ate	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				
LLC Units in Goosehead Financial, LLC	\$0.0	10/15/2020		с			29,571	(11)	(11)	Class A Common Stock	29,571	\$0	12,960,722	I	By Trust ⁽¹⁾
LLC Units in Goosehead Financial, LLC ⁽¹⁰⁾	\$0.0							(11)	(11)	Class A Common Stock	182,349		182,349	D	

Explanation of Responses:

1. Reflects shares of Class A Common Stock, shares of Class B Common Stock or LLC Units, as applicable, held in trust for which the reporting person serves as a trustee and of which immediate family members of the reporting person are beneficiaries.

2. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$96.47 to \$97.33, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote to this Form 4.

3. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$97.50 to \$98.17, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote to this Form 4.

4. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$98.87 to \$99.83, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote to this Form 4.

5. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$99.88 to \$100.87, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote to this Form 4.

6. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$100.99 to \$101.98, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote to this Form 4.

7. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$102.01 to \$103.01, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote to this Form 4.

8. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$103.05 to \$104.05, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote to this Form 4.

9. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$104.06 to \$104.81, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote to this Form 4.

10. This does not reflect shares directly held by the reporting person's spouse, who is independently a reporting person of the issuer.

11. Each LLC Unit, together with a share of Class B common stock, may be converted by the holder into one share of Class A common stock at any time. The LLC Units do not expire.

Remarks:

The sales reported were effected pursuant to a Rule 10b5-1 trading plan adopted by the Mark and Robyn Jones Descendants Trust 2014.

/s/ P. Ryan Langston, as

Attorney-in-Fact for Mark Evan 10/20/2020 Jones

** 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.