LLC Units in Goosehead Financial, LLC

LLC Units in Goosehead Financial, LLC

\$0.0

06/11/2021

С

91,970

(12)

FORM 4

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

STATEMENT	OF CHANGES	IN BENEFICIAL	OWNERSHIP

l	OMB APPE	ROVAL
l	OMB Number:	3235-0287
l	Estimated average bu	rden
ı		

Check this box if no longer subject to
Section 16. Form 4 or Form 5

	ions may contir tion 1(b).	iue. See		F	Filed p	ursuar	nt to S	ection 1	6(a) (	of the S	ecurit	ties Excha	ange	Act of 1	.934			hours	per res	ponse:	0.5	
ı		Reporting Person*	dants Tn	ıst	2.	. Issue	r Nam	e <b>and</b> T	icker	r or Trad	ling S	mpany Ao Symbol		1940		heck all ap	plica	ble)		on(s) to Iss		
<u>2014</u>					, ==== ,										Director X 10% Owner  Officer (give title v Other (specify							
							3. Date of Earliest Transaction (Month/Day/Year)								=	belo	ow) ``		helow)			
(Last) (First) (Middle)					0	Member of 10% owner group																
C/O GOOSEHEAD INSURANCE, INC. 1500 SOLANA BLVD., BLDG 4, STE 4500																						
-					_ 4	. If Am	endme	ent, Date	e of C	Original	Filed	(Month/D	ay/Ye	ear)	6. Lir		or Jo	int/Group	Filing	(Check Ap	olicable	
(Street) WESTL	AKE T.	X	76262													Form filed by One Reporting Person  X Form filed by More than One Reporting Person						
(City)	(S	tate)	(Zip)																			
		Та	ble I - No	n-Dei	rivati	ive S	ecur	ities <i>F</i>	Acq	uired,	Dis	posed	of,	or Be	neficial	ly Own	ed					
1. Title of S	Security (Inst	r. 3)		2. Tran Date (Month		Day/Year)		2A. Deemed Execution Date, if any (Month/Day/Year)		3. Transaction Code (Instr. 8)		4. Securities Acquired (A) o Disposed Of (D) (Instr. 3, 4 a						s Ily	Form: Direct (D) or Indirect	: Direct Indirect	7. Nature of Indirect Beneficial Ownership	
									Code V		Amount (A) or (D)		Price	Repo	Reported Transaction(s) (Instr. 3 and 4)			,	(Instr. 4)			
Class B C	Common Sto	ock		06/1	10/202	21				С		49,13	39	D	\$0	10	),309	9,897		D <sup>(1)</sup>		
Class A C	Common Sto	ock		06/1	10/202	21				С		49,13	39	A	\$0		49,1	139		D <sup>(1)</sup>		
Class A C	Common Sto	ock		06/1	10/202	2021			S		2,93	2,933		\$91.6	\$91.66 <sup>(2)</sup> 46		46,206		D <sup>(1)</sup>			
Class A C	Class A Common Stock 06/10/		10/202	2021			S		45,706		D	\$92.4	44 <sup>(3)</sup> 5		500		D <sup>(1)</sup>					
Class A C	Class A Common Stock 06/10		10/202	2021			S		500		D	\$93.2	2 <sup>(4)</sup>	[4]		0 1						
Class B C	Common Sto	ock		06/1	11/202	2021				С		91,970 Г		D	\$0	10	10,217			D <sup>(1)</sup>		
Class A C	s A Common Stock 0		06/1	11/202	/2021				С		91,970		A	\$0		91,970			D <sup>(1)</sup>			
Class A C	A Common Stock 06/11		11/202	2021				S		3,40	0	D	\$92.8	1 <sup>(5)</sup>	88,5	570		D <sup>(1)</sup>				
Class A C	Common Sto	ock		06/1	11/202	21				S		82,386		D	\$93.6	3 <sup>(6)</sup> 6,1		,184		D <sup>(1)</sup>		
Class A C	Common Sto	ock		06/1	11/202	21				S		5,984		D	\$94.6	(7)	20	00		D <sup>(1)</sup>		
Class A C	Common Sto	ock		06/1	11/202	21				S		200	)	D	\$95.1	1(8)	0	)		D <sup>(1)</sup>		
Class B C	Common Sto	ock													<u> </u>		182,	349		D <sup>(9)</sup>		
Class A C	Common Sto	ock													<u> </u>		286,	201		D <sup>(9)</sup>		
Class A C	Common Sto	ock													<u> </u>		333,	790	I	O <sup>(10)</sup>		
Class B C	Common Sto	ock													<u> </u>		132,	349	I	O <sup>(10)</sup>		
Class B C	Common Sto	ock														1	,860	,355		I	By Trust <sup>(11)</sup>	
			Table II -									osed o				Owned	ı					
1. Title of	2.	3. Transaction	3A. Deemed	d	4.	-	5. N	umber	6. [	Date Exe	ercisa		7. Ti	itle and	Amount o			9. Numbe		10.	11. Nature	
Derivative Security (Instr. 3)	Conversion or Exercise Price of Derivative Security	Date (Month/Day/Year)	Execution I if any (Month/Day			nsaction of Ex			Expiration Day/Y ities red sed (Instr.			piration Date Se onth/Day/Year) De			Jnderlying Security I 4)				s ally g	Ownershi Form: Direct (D) or Indirec (I) (Instr. 4	Beneficial Ownership ct (Instr. 4)	
				Ì	Code	v	(A)	(D)	Dar	ite ercisable		xpiration ate	Title		Amount or Number of Shares							
LLC Units in Goosehead Financial, LLC	\$0.0	06/10/2021			С			49,139		(12)		(12)	Con	nss A nmon cock	49,139	\$0		10,309,89	97 <sup>(13)</sup>	D <sup>(1)</sup>		

Class A Common Stock

Class A Common Stock

(12)

(12)

91,970

182,349

\$<mark>0</mark>

10,217,927

182,349

 $D^{(9)}$ 

	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)		of Deri Sec Acq (A) ( Disp of (I	f Expiration Date erivative (Month/Day/Year)		Securities Underlying		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							(12)	(12)	Class A Common Stock	132,349		132,349	D <sup>(10)</sup>	
LLC Units in Goosehead Financial, LLC	\$0.0							(12)	(12)	Class A Common Stock	1,860,355		1,860,355	I	By Trust <sup>(11)</sup>

LLC										
1. Name and Address of Reporting Person*  Mark & Robyn Jones Descendants Trust 2014										
(Last)	OSEHEAD	(First) INSURANCE, 1	(Middle)							
1500 SO	LANA BLV	7D., BLDG 4, S	ГЕ 4500							
(Street) WESTLA	AKE	TX	76262							
(City)		(State)	(Zip)							
	nd Address of Mark Evai	Reporting Person*								
(Last)		(First)	(Middle)							
	C/O GOOSEHEAD INSURANCE, INC. 1500 SOLANA BLVD., BUILDING 4, STE 4500									
(Street) WESTLA	AKE	TX	76262							
(City)		(State)	(Zip)							
		Reporting Person* <u>ry Elizabeth</u>								
(Last)		(First)	(Middle)							
	C/O GOOSEHEAD INSURANCE, INC. 1500 SOLANA BLVD., BUILDING 4, STE 4500									
(Street) WESTLA	AKE	TX	76262							
(City)		(State)	(Zip)							

## **Explanation of Responses**

- 1. Reflects shares of Class A Common Stock, shares of Class B Common Stock or LLC Units, as applicable, held (i) directly by the Mark & Robyn Jones Descendants Trust 2014 and (ii) indirectly by Mark Evan Jones and Robyn Mary Elizabeth Jones, who serve as trustees of the Mark & Robyn Jones Descendants Trust 2014 and whose immediate family members are beneficiaries of the Mark & Robyn Jones Descendants Trust 2014.
- 2. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$91.13 to \$92.04, inclusive. The reporting person trust 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 \$92.19 to \$93.17, inclusive. The reporting person trust 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 \$93.20 to \$93.25, inclusive. The reporting person trust 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 \$92.09 to \$93.07, inclusive. The reporting person trust 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 \$93.10 to \$94.09, inclusive. The reporting person trust 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 \$94.10 to \$95.09, inclusive. The reporting person trust 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 formote 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 \$95.10 to \$95.13, inclusive. The reporting person trust 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. Reflects shares of Class A Common Stock, shares of Class B Common Stock or LLC Units, as applicable, held directly by Mark Evan Jones, and does not reflect Class A Common Stock, shares of Class B Common Stock or LLC Units, as applicable, held by his spouse, Robyn Mary Elizabeth Jones, who is independently a reporting person of the issuer.
- 10. Reflects shares of Class A Common Stock, shares of Class B Common Stock or LLC Units, as applicable, held directly by Robyn Mary Elizabeth Jones, and does not reflect Class A Common Stock, shares of Class B Common Stock or LLC Units, as applicable, held by her spouse, Mark Evan Jones, who is independently a reporting person of the issuer.

- 11. Reflects shares of Class B Common Stock or LLC Units, as applicable, held indirectly by Mark Evan Jones and Robyn Mary Elizabeth Jones, who serve as trustees of various trusts and whose immediate family members are beneficiaries of such trusts.
- 12. 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.
- 13. Does not reflect shares of Class A Common Stock, shares of Class B Common Stock or LLC Units, as applicable, held directly by the reporting person individuals, who are each independently a reporting person of the issuer.

## Remarks:

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

/s/ P. Ryan Langston, as
Attorney-in-Fact for Robyn
Mary Elizabeth Jones
/s/ P. Ryan Langston, as
Attorney-in-Fact for Mark &
Robyn Jones Descendants Trust
2014
/s/ P. Ryan Langston, as
Attorney-in-Fact for Mark Evan
Jones

Date

\*\* Signature of Reporting Person

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

- $^{\star}$  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.