SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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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).

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

1. Name and Address of Reporting Person [*] Jones Mark Evan			2. Issuer Name and Ticker or Trading Symbol Goosehead Insurance, Inc. [GSHD]						5. Relationship of Reporting Person(s) to Issuer (Check all applicable)						
Jones Mark	<u>evan</u>			000000000000000000000000000000000000000		<u>,</u> ,		. 1		X Director	X 10	% Owner			
(Last)	(Last) (First) (Middle)				3. Date of Earliest Transaction (Month/Day/Year)							her (specify low)			
C/O GOOSEHEAD INSURANCE, INC.				11/16/2020						CEO / Member of 10% owner group					
1500 SOLANA	BLVD., BUI	LDING 4, ST	E 4500												
(Street)				4. If Amendment, Date of Original Filed (Month/Day/Year)						6. Individual or Joint/Group Filing (Check Applicable Line)					
WESTLAKE	TX	76262								,	One Reporting F				
										Form filed by Person	More than One I	Reporting			
(City)	(State)	(Zip)													
		Table I -	Non-Deriva	tive Securities	Acqui	red,	Disposed	of, or	Benefic	ially Owned					
Date		2. Transaction Date (Month/Day/Yea	r) 2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. r) 8)					Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership				
					Code	v	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)		(Instr. 4)			
Class B Commo	on Stock		11/16/2020		С		14,886	D	\$ <mark>0</mark>	12,822,199	Ι	By Trust ⁽¹⁾			
Class A Commo	on Stock		11/16/2020		С		14,886	A	\$0	14,886	I	By Mark and Robyn Jones Descendants Trust 2014			
												By Mark and Robyn			

\$123.26⁽²⁾

\$124.21(3)

6,415

502

Т

I

Jones Descendants Trust 2014 By Mark and Robyn

Jones

D

D

8,471

5,913

Descendants Trust 2014 By Mark and Robyn \$124.94(4) Class A Common Stock 11/16/2020 502 0 S D I Jones Descendants Trust 2014 Class A Common Stock⁽⁵⁾ 286,201 D D Class B Common Stock⁽⁵⁾ 182,349

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11/16/2020

11/16/2020

 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) o Disp of (I	umber ivative urities uired or oosed O) (Instr. and 5)	6. Date Exerc Expiration Da (Month/Day/Y	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	11/16/2020		С			14,886	(6)	(6)	Class A Common Stock	14,886	\$0	12,822,199	Ι	By Trust ⁽¹⁾
LLC Units in Goosehead Financial, LLC ⁽⁵⁾	\$0.0							(6)	(6)	Class A Common Stock	182,349		182,349	D	

Explanation of Responses:

Class A Common Stock

Class A Common Stock

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 \$122.77 to \$123.77, 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 \$123.80 to \$124.78, 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 \$124.84 to \$124.98, 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.

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

6. 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.

<u>/s/ P. Ryan Langston, as</u> <u>Attorney-in-Fact for Mark Evan</u> <u>11/18/2020</u> <u>Jones</u>

** 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.