SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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). Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934

					e investment	Company Act of 1940						
1. Name and Address of Reporting Person*				. Issuer Name and Ti Goosehead Insu			5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
<u>Jones Mark Evan</u>				Jooberread mot	<u></u>		X	Director	<mark>X</mark> 10	0% Owner		
(Last) (First) (Middle) C/O GOOSEHEAD INSURANCE, INC. 1500 SOLANA BLVD., BUILDING 4, STE 4500				. Date of Earliest Tra 3/17/2020	nsaction (Mon	th/Day/Year)	x	Officer (give til below) CEO / Membe	A be	ther (specify elow) ner group		
				. If Amendment, Date	of Original Fi	led (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable					
(Street)							Line)			_		
WESTLAKE	TX	76262						,	One Reporting I			
								Form filed by I Person	More than One	Reporting		
(City)	(State)	(Zip)										
		Table I - I	Non-Derivati	ve Securities A	cquired, C	Disposed of, or Benefi	cially	Owned				
Date			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 an	d 5) S B C	. Amount of ecurities eneficially wmed Following eported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		

	(Month/Day/Year)	(Month/Day/Year)	8)					Owned Following	(I) (Instr. 4)	Ownership
			Code	v	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Class B Common Stock	03/17/2020		С		80,844	D	\$ <mark>0</mark>	13,806,679	I	By Trust ⁽¹⁾
Class A Common Stock	03/17/2020		С		80,844	A	\$0	80,844	I	By Mark and Robyn Jones Descendants Trust 2014
Class A Common Stock	03/17/2020		s		38,716	D	\$45.62 ⁽²⁾	42,128	I	By Mark and Robyn Jones Descendants Trust 2014
Class A Common Stock	03/17/2020		s		32,841	D	\$46.62 ⁽³⁾	9,287	I	By Mark and Robyn Jones Descendants Trust 2014
Class A Common Stock	03/17/2020		s		9,287	D	\$47.22 ⁽⁴⁾	0	I	By Mark and Robyn Jones Descendants Trust 2014
Class A Common Stock ⁽⁵⁾								720,301	D	
Class B Common Stock ⁽⁵⁾								182,349	D	

 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		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	03/17/2020		С			80,844	(6)	(6)	Class A Common Stock	80,844	\$0	13,806,679	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:

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 \$45.00 to \$46.00, 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 \$46.01 to \$47.01, 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.

4. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$47.03 to \$47.53, 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. Following the reported transaction above, Mark and Robyn Jones, together with their trusts, continue to own beneficially 1,462,691 shares of Class A Common Stock and 14,171,377 shares of Class B Common Stock, for a total of 15,634,068 shares of Goosehead Insurance, Inc.

<u>/s/ P. Ryan Langston, as</u> <u>Attorney-in-Fact for Mark Evan</u> 03/19/2020 <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.

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