SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

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

OMB APPROVAL

	OMB Number:	3235-0287
	Estimated average burde	n
l	hours per response:	0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).		MT OF CHANGES IN BENEFICIAL OWNERSHIP OMB Number: 3235-0287 d pursuant to Section 16(a) of the Securities Exchange Act of 1934 Estimated average burden hours per response: 0.5										
1. Name and Address of Reporting Person* Jones Mark Evan	2. Issuer Name and Goosehead Ins	Ticker o	r Trad	ing Symbol	5	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director X 10% Owner V Officer (give title V Other (spe						
(Last)(First)(MidC/O GOOSEHEAD INSURANCE, INC1500 SOLANA BLVD., BUILDING 4, S	3. Date of Earliest Tra 10/15/2020	ansactic	on (Mo	onth/Day/Year)		- X Officer (give title X Other (specify below) CEO / Member of 10% owner group						
(Street) WESTLAKE TX 762	4. If Amendment, Dat 10/20/2020	te of Ori	iginal	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 Person						
(City) (State) (Zip)		41	• • • • •		Discussed	-6	Demoficie					
1. Title of Security (Instr. 3)	tive Securities A 2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transa Code (8)	action	4. Securities Disposed Of	Acquire	d (A) or	5. Amount of Securities 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 Common Stock	10/15/2020		С		29,571	D	\$0	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	n	s		200	D	\$ 97.13 ⁽²) 29,371	I	By Mark and Robyn Jones Descendants Trust 2014		
Class A Common Stock	10/15/2020	n	s		1,100	D	\$97.76 ⁽³) 28,271	I	By Mark and Robyn Jones Descendants Trust 2014		
Class A Common 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 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 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 Stock	10/15/2020		s		3,813	D	\$102.6	18,656 ⁽⁷⁾	I	By Mark and Robyn Jones Descendants Trust 2014		
										By Mark and Robyn		

\$103.69(8)

\$104.38(9)

6,128

0

I

I

Jones

Jones Descendants Trust 2014

Descendants Trust 2014 By Mark and Robyn

12,528

6,128

S

s

D

D

10/15/2020

10/15/2020

Class A Common Stock

Class A Common Stock

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	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 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 la a pute calle warrante optione convertible securities

			(e.g.,	, puts,	, call	s, w	arrant	s, options	, convert	DIE SECI	urities)				
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 Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		vative urities uired or oosed O) (Instr.	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	10/15/2020		с			29,571	(11)	(11)	Class A Common Stock	29,571	\$0	12,944,785	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 icculor 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 10/21/2020 Jones Date

** Signature of Reporting Person

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.