SEC Form 4

FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See UNITED STATES SECURITIES AND EXCHANGE COMMISSION

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

	ROVAL
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Instruction 1(b)		File	ed pursuant to Section 16(a) of the Securities Exchange Act of 193	L	liburs per response. 0.5			
.,		-	or Section 30(h) of the Investment Company Act of 1940					
1. Name and Addr Colby Mark		ıg Person [*]	2. Issuer Name and Ticker or Trading Symbol <u>Goosehead Insurance, Inc.</u> [GSHD]		ationship of Re k all applicable Director Officer (give)	10% Owner Other (specify	
(Last) (First) (Middle) C/O GOOSEHEAD INSURANCE, INC. 1500 SOLANA BLVD., BUILDING 4, STE 4500			3. Date of Earliest Transaction (Month/Day/Year) 08/19/2021		below)	CFO	below)	
(Street) WESTLAKE	TX	76262	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line) X	Form filed b	y One Repor	(Check Applicable ting Person One Reporting	
(City)	(State)	(Zip)						

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)	3. Transa Code (8)					5. Amount of Securities 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)		(1150.4)
Class A Common Stock	08/19/2021		М		1,412	A	\$ <mark>10</mark>	1,412	D	
Class A Common Stock	08/19/2021		S		1,412	D	\$140.09(1)	0	D	
Class A Common Stock	08/20/2021		М		0	A	\$10	100	D	
Class A Common Stock	08/19/2021		S		100	D	\$140	0	D	

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

	(oigi, puto, cano, maranto, optiono, contentino coortino)														
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 Seci Acq (A) o Disp of (E (Inst	of Expiration Date Derivative (Month/Day/Year) Securities Acquired A) or		te Amount of		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				
Employee Stock Options (right to buy)	\$10	08/19/2021		М			1,412	(2)	04/26/2028	Class A Stock	1,412	\$0	58,588	D	
Employee Stock Options (right to buy)	\$10	08/20/2021		М			100	(2)	04/26/2028	Class A Stock	100	\$0	58,488	D	

Explanation of Responses:

1. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$140.00 to \$140.41, 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.

2. One third (1/3rd) of the shares subject to the option shall vest and become exercisable, subject to continued employment, on each of the second, third and fourth anniversaries of the grant date; provided, that all shares subject to the option will vest and become exercisable if Mr. Colby's employment is terminated without "cause" or for "good reason" (each as defined in either Mr. Colby's option award agreement or the issuer's omnibus incentive plan) within six month following a "change in control" (as defined in the issuer's omnibus incentive plan).

Remarks:

The sales reported were effected pursuant to a Rule 10b5-1 Trading Plan adopted by the reporting person.



** 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.