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

	OMB Number:	3235-0287								
	Estimated average burden									
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). 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   (Last) (First)   (Middle)   C/O GOOSEHEAD INSURANCE, INC.   1500 SOLANA BLVD., BUILDING 4, STE 4500					ssuer Name <b>and</b> Ti <u>cosehead Insu</u> Date of Earliest Trar /27/2020	irance	<u>e, In</u>	<u>c.</u> [ GSHD		5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director X 10% Owner X Officer (give title X Other (specify below) CEO / Member of 10% owner group				
(Street) WESTLAKE TX 76262 (City) (State) (Zip)					f Amendment, Date	of Orig	inal Fi	iled (Month/Da	ıy/Year)	6. I Lin	X Form filed by	oup Filing (Cheo One Reporting F More than One	Person	
		Table I -	Non-Deriva	ativ	e Securities A	cquire	ed, C	Disposed o	of, or E	Beneficial	ly Owned			
Date			2. Transaction Date (Month/Day/Y				Transaction Disposed Of (D) (Instr. 3, 4 and Code (Instr.			I (A) or : 3, 4 and 5)	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		Price	Transaction(s) (Instr. 3 and 4)		,	
Class B Commo	on Stock		03/27/202	20		С		40,416	D	\$0	13,635,743	I	By Trust <sup>(1)</sup>	
Class A Common Stock 03/27/20				20		С		40,416	A	\$0	40,416	I	By Mark and Robyn Jones Descendants Trust 2014	
Class A Commo	on Stock		03/27/202	20		S		26,483	D	\$45.59 <sup>(2)</sup>	13,933	I	By Mark and Robyn Jones Descendants Trust 2014	
Class A Commo	on Stock		03/27/202	20		S		12,733	D	\$46.3 <sup>(3)</sup>	1,200	I	By Mark and Robyn Jones Descendants	

Class A Common Stock	03/27/2020	S	12,733	D	\$46.3 <sup>(3)</sup>	1,200	Ι	Jones Descendants Trust 2014
Class A Common Stock	03/27/2020	S	1,200	D	\$47.03 <sup>(4)</sup>	0	I	By Mark and Robyn Jones Descendants Trust 2014
Class A Common Stock <sup>(5)</sup>						720,301	D	
Class B Common Stock <sup>(5)</sup>						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 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	03/27/2020		С			40,416	(6)	(6)	Class A Common Stock	40,416	\$0	13,635,743	I	By Trust <sup>(1)</sup>
LLC Units in Goosehead Financial, LLC <sup>(5)</sup>	\$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 \$47.02 to \$47.05, 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.

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 14,000,441 shares of Class B Common Stock, for a total of 15,463,132 shares of Goosehead Insurance, Inc.

<u>/s/ P. Ryan Langston, as</u> <u>Attorney-in-Fact for Mark Evan</u> 03/31/2020 <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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