SEC Form 4

FORM 4

Class A Common Stock

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05/10/2021

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UNITED STATES SECURITIES AND EXCHANGE COMMISSION

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

OMB APPROVAL

OMB Number:	3235-0287
Estimated average bu	rden
hours per response:	0.5

By Mark and Robyn

Jones Descendants Trust 2014 By Mark and Robyn

Jones Descendants Trust 2014 By Mark and Robyn

Jones Descendants Trust 2014

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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).		pursuant to Section 1 or Section 30(h) of	L6(a) of	the Se	ecurities Exch	ange Act	of 1934		OMB Number: Estimated average hours per response	
1. Name and Address of Reporting Person* Jones Mark Evan (Last) (First) (N C/O GOOSEHEAD INSURANCE, IN	2. Issuer Name and Goosehead Ins 3. Date of Earliest Tr 05/10/2021	suran	<u>ce, I</u>	<u>nc.</u> [GSHI		Relationship of Rep Check all applicable) X Director X Officer (give below) CEO / Memb	X 10 title x O	10% Owner Other (specify below)		
Street) (City) (State) (2	4. If Amendment, Da	te of Or	ne) X Form filed by	or Joint/Group Filing (Check Applicable n filed by One Reporting Person n filed by More than One Reporting son						
Tabl	e I - Non-Deriva	tive Securities	Acqui	red,	Disposed	of, or	Beneficia	ally Owned		
1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Yea	ar) 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 B Common Stock	05/10/2021		С	\square	30,150	D	\$0	12,528,282	I	By Trust ⁽¹⁾
Class A Common Stock	05/10/2021		С		30,150	A	\$0	30,150	I	By Mark and Robyn Jones Descendants Trust 2014
Class A Common Stock	05/10/2021		S		7,716	D	\$95.82 ⁽²) 22,434	I	By Mark and Robyn Jones Descendants Trust 2014
Class A Common Stock	05/10/2021		S		2,634	D	\$96.46 ⁽³) 19,800	I	By Mark and Robyn Jones Descendants Trust 2014
Class A Common Stock	05/10/2021		S		13,986	D	\$97.51 ⁽⁴	5,814	I	By Mark and Robyn Jones Descendants Trust 2014
Class A Common Stock	05/10/2021		s		2,726	D	\$98.76 ⁽⁵	3,088	I	By Mark and Robyn Jones Descendants Trust 2014
Class A Common Stock	05/10/2021		s		1,451	D	\$99.86 ⁽⁶	1,637	I	By Mark and Robyn Jones Descendants Trust 2014

s

s

s

837

700

100

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\$100.71⁽⁷⁾

\$102.07(8)

\$103.68⁽⁹⁾

800

100

0

Ta	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 Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership			
			Code	v	Amount	(A) or (D)	Price	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 (e.g., puts, calls, warrants, options, convertible securities)

(e.g., puis, cans, 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 Exercisable and Expiration Date (Month/Day/Year)		of Securities		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	05/10/2021		с			30,150	(11)	(11)	Class A Common Stock	30,150	\$0	12,528,282	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 \$95.16 to \$96.16, 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 \$96.18 to \$97.18, 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 \$97.20 to \$98.07, 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 \$98.25 to \$99.25, 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.

6. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$99.32 to \$100.24, 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 \$100.35 to \$101.28, 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 \$101.72 to \$102.67, 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 at a single price of \$103.68.

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:

/s/ P. Ryan Langston, as

Attorney-in-Fact for Mark Evan 05/12/2021 Jones

** 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.