

KOCH C JAMES
Form 4
September 17, 2018

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden 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).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person *
KOCH C JAMES

2. Issuer Name and Ticker or Trading Symbol
BOSTON BEER CO INC [SAM]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

____ Director ____ 10% Owner
____ Officer (give title below) ____ Other (specify below)
Chairman

(Last) (First) (Middle)
C/O THE BOSTON BEER COMPANY, ONE DESIGN CENTER PLACE, SUITE 850
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
09/17/2018

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)
X Form filed by One Reporting Person
___ Form filed by More than One Reporting Person

BOSTON, MA 02210

(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. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 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 |
| Class A Common | 09/17/2018 | | S ⁽¹⁾ | 829 | D | \$ 312.01 ⁽²⁾ | 52,543 ⁽³⁾ | D |
| Class A Common | 09/17/2018 | | S ⁽¹⁾ | 1,477 | D | \$ 315.15 ⁽⁴⁾ | 51,066 ⁽³⁾ | D |
| Class A Common | 09/17/2018 | | S ⁽¹⁾ | 2,194 | D | \$ 318.06 ⁽⁵⁾ | 48,872 ⁽³⁾ | D |
| Class A Common | 09/17/2018 | | S ⁽¹⁾ | 500 | D | \$ 320 | 48,372 ⁽³⁾ | D |

Edgar Filing: KOCH C JAMES - Form 4

| | | | | | | | | |
|----------------|--|--|--|--|--------|---|--|---|
| Common | | | | | | | | |
| Class A Common | | | | | 23,000 | I | | By Foundation managed by Reporting Person |
| Class A Common | | | | | 44,248 | I | | By LLC managed by spouse |
| Class A Common | | | | | 3,656 | I | | By spouse as custodian for children under UGTMA |
| Class A Common | | | | | 2,532 | I | | By spouse in trust for children |
| Class A Common | | | | | 5,000 | I | | By Trust as Trustee |
| Class A Common | | | | | 23,486 | I | | Custodian for children under UGTMA |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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 control number.

SEC 1474
(9-02)

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. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secur Benef Own Follo Repo Trans (Instr |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|
| | | | | | | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| | | | | | | Code | V | (A) | (D) |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|----------|
| | Director | 10% Owner | Officer | Other |
| KOCH C JAMES C/O THE BOSTON BEER COMPANY ONE DESIGN CENTER PLACE, SUITE 850 BOSTON, MA 02210 | | | | Chairman |

Signatures

Michael G. Andrews under POA for the benefit of Koch C.
James

09/17/2018

__Signature of Reporting Person

Date

Explanation of Responses:

- * 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).
- (1) The transactions reported in this Form 4 were effectuated pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person on August 13, 2018.
- The price shown is the weighted average sale price for the transactions reported on this line. The range of sale prices for the 829 shares is
- (2) from \$312.00 to \$312.05. The Reporting Person will provide full information regarding the number of shares sold at each separate price upon request of the SEC, the Registrant, or a shareholder of the Registrant.
- (3) The shares reported include 654 shares of restricted stock subject to vesting conditions.
- The price shown is the weighted average sale price for the transactions reported on this line. The range of sale prices for the 1,477 shares
- (4) is from \$315.00 to \$315.60. The Reporting Person will provide full information regarding the number of shares sold at each separate price upon request of the SEC, the Registrant, or a shareholder of the Registrant.
- The price shown is the weighted average sale price for the transactions reported on this line. The range of sale prices for the 2,194 shares
- (5) is from \$318.00 to \$318.95. The Reporting Person will provide full information regarding the number of shares sold at each separate price upon request of the SEC, the Registrant, or a shareholder of the Registrant.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.