

LIVE VENTURES Inc  
Form 4  
January 06, 2017

**FORM 4**

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

OMB APPROVAL

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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).

**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 \*  
Isaac Jon

(Last) (First) (Middle)

C/O LIVE VENTURES, INC., 325  
EAST WARM SPRINGS ROAD,  
STE. 102

(Street)

LAS VEGAS, NV 89119

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
LIVE VENTURES Inc [LIVE]

3. Date of Earliest Transaction  
(Month/Day/Year)  
01/06/2017

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
CEO and President

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

**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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  | Code                           | V   | Amount or Price (A) or (D)  |  |                                   |
| Common Stock                    | 01/06/2017                           |  | P                              |   | 118 A \$ 18.58  | 1,465,121 <sup>(1)</sup>                                 | D                                 |
| Common Stock                    | 01/06/2017                           |  | P                              |   | 2,000 A \$ 18.63  | 1,467,121 <sup>(1)</sup>                                 | D                                 |
| Common Stock                    | 01/06/2017                           |  | P                              |   | 1,500 A \$ 18.67  | 1,468,621 <sup>(1)</sup>                                 | D                                 |
| Common Stock                    | 01/06/2017                           |  | P                              |   | 200 A \$ 18.64  | 1,468,821 <sup>(1)</sup>                                 | D                                 |
| Common Stock                    | 01/06/2017                           |  | P                              |   | 1,200 A \$ 18.64  | 1,470,021 <sup>(1)</sup>                                 | D                                 |

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|              |            |   |       |   |          |                          |   |
|--------------|------------|---|-------|---|----------|--------------------------|---|
| Common Stock | 01/06/2017 | P | 2,025 | A | \$ 18.77 | 1,472,046 <sup>(1)</sup> | D |
| Common Stock | 01/06/2017 | P | 5,000 | A | \$ 18.54 | 1,477,046 <sup>(1)</sup> | D |
| Common Stock | 01/06/2017 | P | 562   | A | \$ 18.41 | 1,477,608 <sup>(1)</sup> | D |
| Common Stock | 01/06/2017 | P | 1,190 | A | \$ 18.5  | 1,478,798 <sup>(1)</sup> | D |

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.**

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(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. Number of Derivative Securities Beneficially Owned (Instr. 6) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable   | Expiration Date   | Title                                      | Amount or Number of Shares                                       |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |                   |       |
|---|---------------|-----------|-------------------|-------|
|   | Director      | 10% Owner | Officer           | Other |
| Isaac Jon<br>C/O LIVE VENTURES, INC.<br>325 EAST WARM SPRINGS ROAD, STE. 102<br>LAS VEGAS, NV 89119 | X             | X         | CEO and President |       |

## Signatures

/s/ Jon Isaac 01/06/2017

\_\_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) Includes 158,333 shares of Series B Preferred Convertible Stock and warrants for the purchase of up to 118,029 shares of Series B Preferred Convertible Stock owned of record by Isaac Capital Group, LLC. The Series B Preferred Convertible Stock and the underlying shares of common stock (791,666 and 590,146 warrant shares) are subject to a lock-up agreement with the issuer that expires on December 31, 2021.

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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