Five9, Inc. Form 3 April 03, 2014

# FORM 3

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

**OMB APPROVAL** 

**OMB** Number:

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INITIAL STATEMENT OF 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 \*

 **ZWARENSTEIN BARRY** 

(Last)

(First)

(Middle)

Statement

(Month/Day/Year)

04/03/2014

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

Five9, Inc. [FIVN]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

5. If Amendment, Date Original

Filed(Month/Day/Year)

C/O FIVE9, INC. BISHOP RANCH 8, 4000, Â EXECUTIVE PARKWAY, SUITE 400

(Street)

Director \_X\_\_ Officer

10% Owner

Other (give title below) (specify below) Chief Financial Officer

6. Individual or Joint/Group Filing(Check Applicable Line)

\_X\_ Form filed by One Reporting Person

Form filed by More than One Reporting Person

SAN RAMON,, CAÂ 94583

(City) (State)

(Zip)

1. Title of Security (Instr. 4)

Table I - Non-Derivative Securities Beneficially Owned

2. Amount of Securities Beneficially Owned

(Instr. 4)

3. Ownership Form:

4. Nature of Indirect Beneficial Ownership (Instr. 5)

Direct (D) or Indirect (I)

(Instr. 5)

Common Stock 159,711

Â 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.

SEC 1473 (7-02)

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

1. Title of Derivative Security (Instr. 4)

2. Date Exercisable and

3. Title and Amount of Securities Underlying Derivative Security

5. 4. Ownership Conversion or Exercise Form of

6. Nature of Indirect Beneficial Ownership (Instr. 5)

Price of Derivative Derivative Security:

#### Edgar Filing: Five9, Inc. - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Stock Option (right to buy)	(1)	04/27/2022	Common stock	184,312	\$ 0.96	D	Â
Stock Option (right to buy)	(2)	11/22/2023	Common	88,860	\$ 9.48	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships				
	Director	10% Owner	Officer	Other	
ZWARENSTEIN BARRY C/O FIVE9, INC. BISHOP RANCH 8, 4000 EXECUTIVE PARKWAY, SUITE 400 SAN RAMONÂ CAÂ 94583	Â	Â	Chief Financial Officer	Â	

# **Signatures**

/s/ Frances Dea, attorney-in-fact

\*\*Signature of Reporting Person Date

### **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 5(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).
- Original option grant was for 402,135 shares. Option began vesting with respect to 25% of shares subject to the option one year after January 11, 2012, and with respect to the remaining 75% of the shares subject to the option in 36 equal monthly installments thereafter.
- (2) Original option grant was for 90,750 shares. Option began vesting in 48 substantially equal monthly installments on the one-month anniversary of November 22, 2013.

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#### **Remarks:**

Exhibit List

Exhibit 24 - Limited Power of Attorney

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.

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