

Zuckerberg Mark
Form 4
April 18, 2019

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

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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 *
Zuckerberg Mark

(Last) (First) (Middle)

C/O FACEBOOK, INC., 1601
WILLOW ROAD

(Street)

MENLO PARK, CA 94025

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
Facebook Inc [FB]

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

04/16/2019

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)

COB and CEO

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 Indirect Beneficial Ownership (Instr. 4) | | | |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|------------|---|--|
| | | | Code | V | Amount or Price | | | | | |
| Class A Common Stock | 04/16/2019 | | S ⁽¹⁾ | | 46,352 | D | \$ 179.136 ⁽²⁾ | 10,622,503 | I | By Chan Zuckerberg Foundation ⁽³⁾ |
| Class A Common Stock | 04/16/2019 | | S ⁽¹⁾ | | 48,648 | D | \$ 179.7305 ⁽⁴⁾ | 10,573,855 | I | By Chan Zuckerberg Foundation ⁽³⁾ |
| Class A Common Stock | 04/16/2019 | | C | | 13,000 | A | \$ 0 | 13,000 | I | By CZI Holdings, LLC ⁽⁵⁾ |

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| | | | | | | | | | |
|----------------------------|------------|------------------------|--------|---|-------------------|----------|------------|---|---|
| Class A Common Stock | 04/16/2019 | <u>S⁽¹⁾</u> | 10,813 | D | \$ <u>(6)</u> | 179.3563 | 2,187 | I | By CZI Holdings, LLC <u>(5)</u> |
| Class A Common Stock | 04/16/2019 | <u>S⁽¹⁾</u> | 2,187 | D | \$ <u>(7)</u> | 179.9334 | 0 | I | By CZI Holdings, LLC <u>(5)</u> |
| Class A Common Stock | 04/17/2019 | <u>S⁽¹⁾</u> | 63,876 | D | \$ <u>(8)</u> | 178.8017 | 10,509,979 | I | By Chan Zuckerberg Foundation <u>(3)</u> |
| Class A Common Stock | 04/17/2019 | <u>S⁽¹⁾</u> | 29,244 | D | \$ <u>(9)</u> | 179.7743 | 10,480,735 | I | By Chan Zuckerberg Foundation <u>(3)</u> |
| Class A Common Stock | 04/17/2019 | <u>S⁽¹⁾</u> | 1,880 | D | \$ <u>(10)</u> | 180.5342 | 10,478,855 | I | By Chan Zuckerberg Foundation <u>(3)</u> |
| Class A Common Stock | 04/17/2019 | <u>C</u> | 13,000 | A | \$ 0 | | 13,000 | I | By CZI Holdings, LLC <u>(5)</u> |
| Class A Common Stock | 04/17/2019 | <u>S⁽¹⁾</u> | 8,580 | D | \$ <u>(11)</u> | 178.7788 | 4,420 | I | By CZI Holdings, LLC <u>(5)</u> |
| Class A Common Stock | 04/17/2019 | <u>S⁽¹⁾</u> | 4,420 | D | \$ <u>(12)</u> | 179.805 | 0 | I | By CZI Holdings, LLC <u>(5)</u> |
| Class A Common Stock | 04/18/2019 | <u>S⁽¹⁾</u> | 87,176 | D | \$ <u>(13)</u> | 178.0311 | 10,391,679 | I | By Chan Zuckerberg Foundation <u>(3)</u> |
| Class A Common Stock | 04/18/2019 | <u>S⁽¹⁾</u> | 7,824 | D | \$ <u>(14)</u> | 178.7621 | 10,383,855 | I | By Chan Zuckerberg Foundation <u>(3)</u> |
| Class A Common Stock | 04/18/2019 | <u>C</u> | 13,000 | A | \$ 0 | | 13,000 | I | By CZI Holdings, LLC <u>(5)</u> |
| Class A Common Stock | 04/18/2019 | <u>S⁽¹⁾</u> | 11,848 | D | \$ <u>(15)</u> | 178.0401 | 1,152 | I | By CZI Holdings, LLC <u>(5)</u> |
| Class A Common Stock | 04/18/2019 | <u>S⁽¹⁾</u> | 1,152 | D | \$ <u>(16)</u> | 178.7826 | 0 | I | By CZI Holdings, LLC <u>(5)</u> |

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| | | | |
|----------------------------|---------|---|--|
| Class A Common Stock | 214,816 | I | By Mark Zuckerberg, Trustee Of The Mark Zuckerberg 2014 GRAT No. 2 Dated 5/8/2014 ⁽¹⁷⁾ |
| Class A Common Stock | 270,331 | I | By Mark Zuckerberg, Trustee Of The Mark Zuckerberg 2014 GRAT No. 3 Dated 5/8/2014 ⁽¹⁸⁾ |
| Class A Common Stock | 151,969 | I | By Chan Zuckerberg Advocacy ⁽¹⁹⁾ |

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

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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) | | |
|---|--|---|---|--------------------------------------|--|--|---|----------------------------|----------------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Class B Common Stock ⁽²⁰⁾ | <u>(20)</u> | 04/16/2019 | | C | 13,000 | <u>(20)</u> | <u>(20)</u> | Class A Common Stock | 13,000 |
| Class B Common Stock ⁽²⁰⁾ | <u>(20)</u> | 04/17/2019 | | C | 13,000 | <u>(20)</u> | <u>(20)</u> | Class A Common Stock | 13,000 |
| Class B Common | <u>(20)</u> | 04/18/2019 | | C | 13,000 | <u>(20)</u> | <u>(20)</u> | Class A Common | 13,000 |

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over the securities held by CZI.

- (6) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$178.81 to \$179.80 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (7) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$179.82 to \$180.14 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (8) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$178.39 to \$179.36 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (9) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$179.39 to \$180.385 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (10) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$180.395 to \$180.70 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (11) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$178.39 to \$179.36 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (12) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$179.535 to \$180.435 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (13) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$177.50 to \$178.48 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (14) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$178.54 to \$178.80 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (15) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$177.50 to \$178.44 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (16) The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$178.74 to \$178.80 per share, inclusive. The holder undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon written request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (17) Shares held of record by Mark Zuckerberg, Trustee of The Mark Zuckerberg 2014 GRAT No. 2, dated 5/8/2014.
- (18) Shares held of record by Mark Zuckerberg, Trustee of The Mark Zuckerberg 2014 GRAT No. 3, dated 5/8/2014.
- (19) Shares held of record by Chan Zuckerberg Advocacy. The reporting person is deemed to have voting and investment power over the shares held by Chan Zuckerberg Advocacy, but has no pecuniary interest in these shares.
- (20) The Class B Common Stock is convertible into the issuer's Class A Common Stock on a 1-for-1 basis (a) at the holder's option or (b) upon certain transfers of such shares and has no expiration date.
- (21) Shares held of record by Mark Zuckerberg, Trustee of the 2006 Trust.

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