Edgar Filing: Addesso Dominic James - Form 4

Addesso Dominic James Form 4 September 23, 2011

FORM 4 UNITED STATES SECURITIES AND I									PPROVAL			
		TATES S	S SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549					OMB Number:	3235-0287			
Check this if no longe	r	STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF								ary 31, 2005		
subject to Section 16 Form 4 or	SECURITIES							Estimated a burden hou response	irs per			
Form 5 obligations may contir <i>See</i> Instruct 1(b).	s Section $17(a)$	of the Pu	blic Uti	lity Hold	ing Com	-	ge Act of 1934, f 1935 or Sectio 40	•				
Print or Type Re	esponses)											
1. Name and Address of Reporting Person <u>*</u> Addesso Dominic James			2. Issuer Name and Ticker or Trading Symbol				5. Relationship of Reporting Person(s) to Issuer					
(Last)	(First) (Mi	irst) (Middle) 3. Date of Earliest Transaction					(Check all applicable)					
477 MARTINSVILLE ROAD			(Month/Day/Year) 09/21/2011				Director X Officer (giv below) Pre-		o Owner er (specify			
		4. If Amendment, Date Original Filed(Month/Day/Year)				6. Individual or Joint/Group Filing(CheckApplicable Line)_X_ Form filed by One Reporting Person						
LIBERTY C	ORNER, NJ 0793	88					Form filed by I Person	More than One Re	eporting			
(City)	(State) (Z	Zip)	Table	I - Non-Do	erivative S	Securities Acc	quired, Disposed o	of, or Beneficial	lly Owned			
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deeme Execution I any (Month/Day	Date, if	3. Transactic Code (Instr. 8)	4. Securi onAcquired Disposed (Instr. 3,	(A) or of (D)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)			

 Common Shares (1)
 09/21/2011
 O9/21/2011
 A
 8,000
 A
 \$ 0
 29,950

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.

D

(Instr. 3 and 4)

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

or

Code V Amount (D) Price

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. Transact Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	Amou Unde Secur	le and unt of rlying ities . 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owne Follo Repo Trans (Instr
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

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Reporting Owners

Reporting Owner Name / Address	Relationships							
	Director	10% Owner	Officer	Other				
Addesso Dominic James 477 MARTINSVILLE ROAD LIBERTY CORNER, NJ 07938			President and CFO					
Signatures								
Sanjoy Mukherjee (Attorney-in-Fact)		09/23/2011						
**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 Common Shares are Restricted Common Shares granted under the Company's 2010 Stock Incentive Plan.

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. nne Farmer

FARMER BROS. CO. 1912 FARMER BROTHERS DRIVE NORTHLAKE, TX 76262 X X

Signatures

/s/ Thomas J. Mattei Jr., Attorney-In-Fact for Jeanne Farmer Grossman

03/16/2018

**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) This Form 4 is being filed late due to an inadvertent administrative error.

Open market sale. This transaction was executed in multiple trades at prices ranging from \$33.00 to \$33.50; the price reported above reflects the weighted average sale price. The Reporting Person hereby undertakes to provide full information regarding the respective numbers of shares and prices at which these trades were effected upon request to the SEC staff, the Issuer, or a security holder of the

Issuer. The Reporting Person continues to meet the Issuer's stock ownership guidelines.

Reflects all of the shares of the Issuer's Common Stock owned directly by various family trusts of which the Reporting Person is the sole trustee, co-trustee, beneficiary, and/or settlor, as reported in the Issuer's Definitive Proxy statement on Schedule 14A filed with the SEC on October 27, 2017, after giving effect to subsequent transactions by the Reporting Person, including this reported transaction. The

Reporting Person disclaims beneficial ownership of such shares except to the extent of her pecuniary interest therein.

Open market sale. This transaction was executed in multiple trades at prices ranging from \$33.50 to \$33.55; the price reported above reflects the weighted average sale price. The Reporting Person hereby undertakes to provide full information regarding the respective

(4) reflects the weighted average sale pirce. The Reporting reflort interest undertakes to provide full information regarding the respective numbers of shares and prices at which these trades were effected upon request to the SEC staff, the Issuer, or a security holder of the Issuer. The Reporting Person continues to meet the Issuer's stock ownership guidelines.

Open market sale. This transaction was executed in multiple trades each at a price of \$33.50 per share. The Reporting Person hereby undertakes to provide full information regarding the respective numbers of shares and prices at which these trades were effected upon

 (5) Interfaces to provide full information regarding the respective numbers of shares and prices at which these trades were effected upon request to the SEC staff, the Issuer, or a security holder of the Issuer. The Reporting Person continues to meet the Issuer's stock ownership guidelines.

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