

Gustke James A.  
Form 4  
March 16, 2018

**FORM 4**

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

OMB APPROVAL

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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 \*  
Gustke James A.

2. Issuer Name and Ticker or Trading Symbol  
OOMA INC [OOMA]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
C/O OOMA, INC., 525 ALMANOR AVE., SUITE 200

3. Date of Earliest Transaction (Month/Day/Year)  
03/14/2018

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)

Vice President of Marketing

(Street)

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

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

SUNNYVALE, CA 94085

(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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  | Code                           | V   | Amount  | (A) or (D)   | Price                             |
| Common Stock <sup>(1)</sup>     | 03/14/2018                           |  | A                              |   | 27,200  | A  | \$ 0                              |
| Common Stock                    | 03/15/2018                           |  | F                              |   | 1,908 <sup>(2)</sup>  | D  | \$ 11.8                           |
| Common Stock                    | 03/15/2018                           |  | A                              |   | 1,263 <sup>(3)</sup>  | A  | \$ 5.01                           |

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

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SEC 1474 (9-02)

number.

**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. Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|
| Employee Stock Option (right to buy)       | \$ 11.75   | 03/14/2018                           |  | A                              | 6,800   | <sup>(4)</sup> 03/14/2028                                | Common Stock  | 6,800                         |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |                             |       |
|---|---------------|-----------|-----------------------------|-------|
|   | Director      | 10% Owner | Officer                     | Other |
| Gustke James A.<br>C/O OOMA, INC.<br>525 ALMANOR AVE., SUITE 200<br>SUNNYVALE, CA 94085 |               |           | Vice President of Marketing |       |

## Signatures

/s/ James A. Gustke  
03/16/2018  
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).  
Represent restricted stock units which will vest as follows: 1/8th of the total original number of restricted stock units shall vest on  
(1) September 15, 2018 and 1/16th of the total original number of restricted stock units shall vest on the same day of every third month thereafter.  
(2) Shares delivered by Reporting Person to Issuer in payment of the withholding tax liability upon vesting of restricted stock units.  
(3) Represents shares acquired under the Issuer's Employee Stock Purchase Plan.  
(4) 1/8th of the shares subject to the option shall vest and become exercisable on September 15, 2018, and 1/16th of the shares subject to the option shall vest and become exercisable on the same day of every third month thereafter.

## Edgar Filing: Gustke James A. - Form 4

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