

TREMOR VIDEO INC.
Form 4
February 16, 2017

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 *
Lichstein Adam

(Last) (First) (Middle)

C/O TREMOR VIDEO, INC., 1501 BROADWAY, 8TH FLOOR

(Street)

NEW YORK, NY 10036

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
TREMOR VIDEO INC. [TRMR]

3. Date of Earliest Transaction (Month/Day/Year)
02/13/2017

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)

President, Seller Platforms

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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| | | | | (A) or (D) | Price | | |
| Common Stock | 02/13/2017 | | M | 11,500 | A <u>(1)</u> <u>(2)</u> 40,828 | D | |
| Common Stock | 02/13/2017 | | F | 4,740 <u>(3)</u> | D \$ 2.24 36,088 | D | |
| Common Stock | 02/14/2017 | | M | 63,468 | A <u>(4)</u> <u>(5)</u> 99,556 | D | |
| Common Stock | 02/14/2017 | | F | 26,161 <u>(3)</u> | D \$ 2.25 73,395 | D | |

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

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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 |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|
| Restricted Stock Unit | <u>(1)</u> | 02/13/2017 | | M | 5,750 | <u>(1)</u> <u>(1)</u> | Common Stock | 5,750 |
| Restricted Stock Unit | <u>(2)</u> | 02/13/2017 | | M | 5,750 | <u>(2)</u> <u>(2)</u> | Common Stock | 5,750 |
| Restricted Stock Unit | <u>(4)</u> | 02/14/2017 | | M | 13,468 | <u>(4)</u> <u>(4)</u> | Common Stock | 13,468 |
| Restricted Stock Unit | <u>(6)</u> | 02/14/2017 | | M | 50,000 | <u>(5)</u> <u>(5)</u> | Common Stock | 50,000 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|-----------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Lichstein Adam C/O TREMOR VIDEO, INC., 1501 BROADWAY, 8TH FLOOR NEW YORK, NY 10036 | | | President, Seller Platforms | |

Signatures

/s/Adam Lichstein 02/16/2017

**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)

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On February 23, 2015, the reporting person was granted 23,000 restricted stock units, with each unit representing the right to receive one share of the issuer's common stock. An additional 25% of the total shares underlying the restricted stock unit vested on February 13, 2017 and were issued on February 13, 2017. The remaining restricted stock units will vest 25% on each of February 13, 2018 and February 13, 2019, subject to continued service to the issuer through each vesting date.

(2) On May 29, 2015, the reporting person was granted 23,000 restricted stock units, with each unit representing the right to receive one share of the issuer's common stock. An additional 25% of the total shares underlying the restricted stock unit vested on February 13, 2017 and were issued on February 13, 2017. The remaining restricted stock units will vest 25% on each of February 13, 2018 and February 13, 2019, subject to continued service to the issuer through each vesting date.

(3) Represents shares withheld to satisfy tax obligations upon the vesting of restricted stock units.

(4) On February 24, 2014, the reporting person was granted 53,872 restricted stock units, with each unit representing the right to receive one share of the issuer's common stock. An additional 25% of the total shares underlying the restricted stock unit vested on February 14, 2017 and were issued on February 14, 2017. The remaining restricted stock units will vest on February 14, 2018, subject to continued service to the issuer through each vesting date.

(5) On March 7, 2016, the reporting person was granted 200,000 restricted stock units, with each unit representing the right to receive one share of the issuer's common stock. 25% of the total shares underlying the restricted stock unit vested on February 14, 2017 and were issued on February 14, 2017. The remaining restricted stock units will vest 25% on each of February 14, 2018, February 14, 2019 and February 14, 2020, subject to continued service to the issuer through each vesting date.

(6) Each restricted stock unit represents a contingent right to receive one share of the issuer's common stock.

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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