Edgar Filing: NV5 Holdings, Inc. - Form 4

| Form 4 | - | | | | | | | | | | | | |
|---|--|---|------------------------------------|---|-----|---|---|---------|---|--|---|--|--|
| January 28, 2 FORM | Л | UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 | | | | | | | | | OMB APPROVAL OMB 3235-0287 Number: | | |
| Check thi if no long subject to Section 10 Form 4 or Form 5 obligation may conti <i>See</i> Instru 1(b). | er STATE 6. Filed pu ¹⁸ Section 17 | 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 20(b) of the Investment Company Act of 1940 | | | | | | | | burden hou response | Estimated average burden hours per response 0.5 | | |
| (Print or Type R | lesponses) | | | | | | | | | | | | |
| 1. Name and A Hockman Al | 2. Issuer Name and Ticker or Trading Symbol NV5 Holdings, Inc. [NVEE] | | | | | 5 | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | | | | |
| (Last) 200 SOUTH | (First) PARK RD., S | (Middle) UITE 350 | 3. Date of (Month/D 01/02/20 | ay/Year) | Tra | nsaction | | | Director X Officer (give below) | 10% | o Owner er (specify | | |
| | | | | Amendment, Date Original d(Month/Day/Year) | | | | | 6. Individual or Joint/Group Filing(CheckApplicable Line)_X_ Form filed by One Reporting Person | | | | |
| HOLLYWO | OD, FL 33021 | | | | | | | | Form filed by M Person | More than One Re | eporting | | |
| (City) | (State) | (Zip) | Table | e I - Non | -De | erivative S | ecurit | ies Acq | uired, Disposed of | f, or Beneficial | ly Owned | | |
| 1.Title of Security (Instr. 3) | 2. Transaction D (Month/Day/Yea | ar) Executio any | ned n Date, if Day/Year) | 3. Transac Code (Instr. 8 Code | 3) | 4. Securiti n(A) or Dis (D) (Instr. 3, 4 Amount | sposed | of | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | | | |
| Common Stock | 01/02/2015 | | | А | | 80,000 | А | \$0 | 269,821 | 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.

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

Reporting Owners

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| 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. Transactio Code (Instr. 8) | 5. onNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | ate | 7. Titl Amou Under Secur (Instr. | nt of lying | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secu Bene Owna Follo Repo Trans (Instr |
|---|---|---|---|--|---|---------------------|--------------------|--|--|---|--|
| | | | | Code V | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | |

Reporting Owners

| Reporting Owner Name / Address | | | | | | | | |
|--|----------|-----------|-----------------|-------|--|--|--|--|
| | Director | 10% Owner | Officer | Other | | | | |
| Hockman Alexander A. 200 SOUTH PARK RD. SUITE 350 HOLLYWOOD, FL 33021 | | | President & COO | | | | | |
| Signatures | | | | | | | | |
| /s/ MaryJo O'Brien, as attorney in fact | , | 01/28/20 | 15 | | | | | |
| **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).

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.