NetApp, Inc. Form 4 December 11, 2013

# FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB APPROVAL

Number: 3235-0287

Expires: January 31, 2005
Estimated average

burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5

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

obligations may continue.

See Instruction

Section 17(a) of the Public Utility Holding Company Act of 1 30(h) of the Investment Company Act of 1940

1(b).

(Print or Type Responses)

| 1. Name and Address of Reporting Person * WARMENHOVEN DANIEL J |            |          | 2. Issuer Name and Ticker or Trading Symbol NetApp, Inc. [NTAP] | 5. Relationship of Reporting Person(s) to Issuer  (Check all applicable)                             |
|--|------------|----------|---|--|
| (Last)   | (First)    | (Middle) | 3. Date of Earliest Transaction                                 | (Check an applicable)  |
| 495 EAST JAV   | A DRIVE    |          | (Month/Day/Year)<br>12/09/2013                                  | _X_ Director 10% Owner _X_ Officer (give title Other (specify below) Executive Chairman              |
|  | (Street)   |          | 4. If Amendment, Date Original                                  | 6. Individual or Joint/Group Filing(Check  |
| SUNNYVALE  | , CA 94089 | )        | Filed(Month/Day/Year)   | Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person |

| (City)                               | (State)                                 | (Zip) Tak   | ole I - Non-                            | Derivative                                | Secu  | rities Acquir | ed, Disposed of,   | or Beneficiall   | y Owned   |
|--------------------------------------|---|---|---|---|-------|---------------|--|--|---|
| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8) | 4. Securit<br>onor Dispos<br>(Instr. 3, 4 | ed of | ` '           | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
| Common<br>Stock                      | 12/09/2013                              |   | M <u>(1)</u>                            | 10,000                                    | A     | \$ 23.79      | 75,059   | D  |   |
| Common<br>Stock                      | 12/09/2013                              |   | S <u>(1)</u>                            | 10,000                                    | D     | \$<br>41.4345 | 65,059   | D  |   |
| Common<br>Stock                      | 12/10/2013                              |   | G                                       | 27,000                                    | D     | \$ 0          | 2,091,031  | I  | by Trust  |
| Common<br>Stock                      |   |   |   |   |       |               | 38,032   | I  | by Trust2   |

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

#### Edgar Filing: NetApp, Inc. - Form 4

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.

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<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4. 5. Number of TransactionDerivative Code Securities (Instr. 8) Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) |         | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 7. Title and Amour<br>Underlying Securit<br>(Instr. 3 and 4) |                           |
|---|---|---|---|---|---------|--|--------------------|--|---------------------------|
|   |   |   |   | Code V  | (A) (D) | Date<br>Exercisable  | Expiration<br>Date | Title  | Amo<br>or<br>Num<br>of Sh |
| Non-Qualified<br>Stock Option<br>(right to buy)     | \$ 23.79  | 12/09/2013                              |   | M(1)  | 10,000  | (3)  | 06/01/2015         | Common<br>Stock  | 10,0                      |

### **Reporting Owners**

| Reporting Owner Name / Address    | Relationships |           |                    |       |  |  |  |  |
|-----------------------------------|---------------|-----------|--------------------|-------|--|--|--|--|
| Troporous o when runne / runne os | Director      | 10% Owner | Officer            | Other |  |  |  |  |
| WARMENHOVEN DANIEL J              |               |           |                    |       |  |  |  |  |
| 495 EAST JAVA DRIVE               | X             |           | Executive Chairman |       |  |  |  |  |

# **Signatures**

SUNNYVALE, CA 94089

By: Michael Nolan, Attorney-in-fact For: Daniel J.
Warmenhoven

\*\*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 transaction(s) reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person.
- (2) Shares held in trust by Richard A. Andre, trustee to The Daniel J. Warmenhoven 1991 Children's Trust. Reporting person disclaims beneficial ownership of such shares.
- Option vests in a series of equal monthly installments over 48 months of service beginning with the one-month annniversary of the grant date.

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.

Reporting Owners 2