

TUCOWS INC /PA/
Form 4
March 03, 2017

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

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 *
Goertz Carla Anne

(Last) (First) (Middle)

96 MOWAT AVENUE

(Street)

TORONTO, A6 M6K 3M1

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
TUCOWS INC /PA/ [TCX]

3. Date of Earliest Transaction (Month/Day/Year)
03/01/2017

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)

EVP Human Resources

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)
			Code	V	Amount (A) or (D) Price		
Common Stock	03/01/2017		M		8,750 A \$ 2.92	8,750	D
Common Stock	03/01/2017		M		7,500 A \$ 5.52	16,250	D
Common Stock	03/01/2017		M		6,250 A \$ 5.76	22,500	D
Common Stock	03/01/2017		M		4,687 A \$ 10.16	27,187	D
Common Stock	03/01/2017		M		2,500 A \$ 19.41	29,687	D

Edgar Filing: TUCOWS INC /PA/ - Form 4

Common Stock 03/01/2017 M 1,250 A \$ 21.1 30,937 D

Common Stock 1,275 I Spousal RRSP

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.

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 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)	Amount or Number of Shares	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	
Stock Option (Right to Buy)	\$ 2.92	03/01/2017		M	8,750	08/14/2014 ⁽¹⁾ 08/14/2018	Common Stock	8,750	
Stock Option (Right to Buy)	\$ 5.52	03/01/2017		M	7,500	05/17/2016 ⁽¹⁾ 05/17/2019	Common Stock	7,500	
Stock Option (Right to Buy)	\$ 5.76	03/01/2017		M	6,250	12/31/2016 ⁽¹⁾ 12/31/2019	Common Stock	6,250	
Stock Option (Right to Buy)	\$ 10.16	03/01/2017		M	4,687	11/10/2017 ⁽¹⁾ 11/10/2020	Common Stock	4,687	
Stock Option (Right to Buy)	\$ 19.41	03/01/2017		M	2,500	01/01/2019 ⁽¹⁾ 01/01/2022	Common Stock	2,500	
	\$ 21.1	03/01/2017		M	1,250	01/03/2020 ⁽¹⁾ 01/03/2023		1,250	

Stock
Option
(Right to
Buy)

Common
Stock

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Goertz Carla Anne 96 MOWAT AVENUE TORONTO, A6 M6K 3M1			EVP Human Resources	

Signatures

/s/ Carla Goertz 03/03/2017

__Signature of Date
Reporting Person

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) Options vest equally at 25% per year after one year then being fully vested after 4 years.

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.