

STEIN LEONARD R
Form 4
September 12, 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 *
STEIN LEONARD R

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
C/O SPLUNK INC., 270
BRANNAN STREET

3. Date of Earliest Transaction (Month/Day/Year)
09/11/2018

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)

SVP, Corp Affairs & CLO

(Street)
SAN FRANCISCO, CA 94107

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

(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 Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | | (A) or (D) | Price | | |
| Common Stock | 09/11/2018 | | S ⁽¹⁾ | 3,259 D | \$ 125.39 (2) | 103,653 ⁽³⁾ | D |
| Common Stock | 09/11/2018 | | S ⁽¹⁾ | 2,043 D | \$ 126.34 (4) | 101,610 | D |
| Common Stock | 09/12/2018 | | S ⁽⁵⁾ | 700 D | \$ 123.26 (6) | 100,910 | D |
| Common Stock | 09/12/2018 | | S ⁽⁵⁾ | 1,300 D | \$ 124.25 | 99,610 | D |

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| | | | | | | | |
|--------------|------------|------------------|-------|---|----------------------------|--------|---|
| Common Stock | 09/12/2018 | S ⁽⁵⁾ | 2,700 | D | <u>(7)</u> \$ 125.21 | 96,910 | D |
| Common Stock | 09/12/2018 | S ⁽⁵⁾ | 712 | D | <u>(8)</u> \$ 125.95 | 96,198 | D |
| | | | | | <u>(9)</u> | | |

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

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(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) | 8. Price of Derivative Security (Instr. 5) | 9. Number of Derivative Securities Beneficially Owned (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |

Reporting Owners

Reporting Owner Name / Address

STEIN LEONARD R
C/O SPLUNK INC.
270 BRANNAN STREET
SAN FRANCISCO, CA 94107

Relationships

Director 10% Owner Officer Other

SVP, Corp Affairs & CLO

Signatures

/s/ Steve Dean, by power of attorney

09/12/2018

__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 reported shares were sold to satisfy the Reporting Person's tax liability in connection with the vesting of restricted stock units ("RSUs") and performance units ("PSUs").

(2) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$124.94 to \$125.91, inclusive. The Reporting Person undertakes to provide to the Issuer, any security holder of the Issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in footnotes (2), (4) and (6) through (9) to this Form 4.

(3) Includes 303 shares acquired under the Splunk Inc. Employee Stock Purchase Plan on June 15, 2018.

(4) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$125.96 to \$126.91, inclusive.

(5) The sale reported on this Form 4 was effected pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person on September 28, 2017.

(6) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$122.67 to \$123.62, inclusive.

(7) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$123.71 to \$124.55, inclusive.

(8) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$124.82 to \$125.71, inclusive.

(9) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$125.83 to \$126.04, inclusive.

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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