

SHOCKLEY BRETT A

Form 4/A

April 04, 2019

FORM 4**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

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

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
SHOCKLEY BRETT A

(Last) (First) (Middle)

1252 BORREGAS AVENUE

(Street)

SUNNYVALE, CA 94089

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
EGAIN Corp [EGAN]

3. Date of Earliest Transaction
(Month/Day/Year)
11/06/2015

4. If Amendment, Date Original
Filed(Month/Day/Year)
02/22/2019

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner
☐ Officer (give title below) ☐ Other (specify below)

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 Indirect Beneficial Ownership (Instr. 4)
Common Stock	02/19/2019		M	48,684 A	\$ 3.74 48,684	D	
Common Stock	02/19/2019		S	48,684 D	\$ 11.56 0 (1) (2)	D	
Common Stock	02/20/2019		M	1,316 A	\$ 3.74 1,316	D	
Common Stock	02/20/2019		M	5,231 A	\$ 2.5 6,547	D	
Common Stock	02/20/2019		M	500 A	\$ 4.335 7,047	D	

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Common Stock	02/20/2019	S	7,047	D	\$ <u>(1)</u> <u>(3)</u> 11.51 0	D
Common Stock	02/21/2019	M	5,793	A	\$ 2.5 5,793	D
Common Stock	02/21/2019	S	5,793	D	\$ <u>(1)</u> <u>(4)</u> 11.83 0	D

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)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Stock Option (right to buy)	\$ 4.335	11/06/2015		A	500	<u>(5)</u> 11/06/2025	Common Stock 500
Stock Option (right to buy)	\$ 3.74	02/19/2019		M	48,684	<u>(6)</u> 05/15/2025	Common Stock 48,684
Stock Option (right to buy)	\$ 3.74	02/20/2019		M	1,316	<u>(6)</u> 05/15/2025	Common Stock 1,316
Stock Option (right to buy)	\$ 2.5	02/20/2019		M	5,231	<u>(7)</u> 09/19/2027	Common Stock 5,231
Stock Option (right to buy)	\$ 4.335	02/20/2019		M	500	<u>(5)</u> 11/06/2025	Common Stock 500

buy)

Stock

Option
(right to
buy)

\$ 2.5

02/21/2019

M

5,793

(7)

09/19/2027

Common
Stock

5,793

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
SHOCKLEY BRETT A 1252 BORREGAS AVENUE SUNNYVALE, CA 94089	X			

Signatures

/s/ Brett
Schockley

04/04/2019

**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 reporting person undertakes to provide to the staff of the Securities and Exchange Commission, the issuer or a security holder of the issuer, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth herein.
- (2) Represents a weighted average price. These shares were sold in multiple transactions at prices ranging from \$11.41 to \$11.70.
- (3) Represents a weighted average price. These shares were sold in multiple transactions at prices ranging from \$11.45 to \$11.55.
- (4) Represents a weighted average price. These shares were sold in multiple transactions at prices ranging from \$11.80 to \$11.89.
- (5) The options, representing a right to purchase a total of 500 shares, became exercisable on November 6, 2016.
- (6) The options, representing a right to purchase a total of 50,000 shares, became exercisable beginning on January 12, 2015 over four years at the rate of 1/48th of the total shares each month.
- (7) The options, representing a right to purchase a total of 62,291 shares, became exercisable beginning on September 1, 2017 over four years at the rate of 1/48th of the total shares each month.

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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