

DEAL RICHARD
Form 4
December 10, 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 *
DEAL RICHARD

2. Issuer Name and Ticker or Trading Symbol
FAIR ISAAC CORP [FICO]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

181 METRO DRIVE

(Street)

3. Date of Earliest Transaction (Month/Day/Year)
12/07/2018

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

SAN JOSE, CA 95110

(City) (State) (Zip)

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

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 | 12/08/2018 | | M | 24,992 A \$ 0 | 73,480 | D | |
| Common Stock | 12/08/2018 | | F | 11,401 (1) D \$ 182.41 | 62,079 | D | |

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

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SEC 1474 (9-02)

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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 Security (Instr. 3 and 4) | | | | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|-----------------|--------------|----------------------------|
| | | | | Code | V | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Market Share Units | (2) | 12/07/2018 | | A | | 4,006 (3) | | 12/08/2018 | (4) | Common Stock | 4 |
| Market Share Units | (2) | 12/08/2018 | | M | | | 4,006 | 12/08/2018 | (4) | Common Stock | 4 |
| Market Share Units | (2) | 12/07/2018 | | A | | 4,166 (5) | | 12/08/2018 | (4) | Common Stock | 4 |
| Market Share Units | (2) | 12/08/2018 | | M | | | 4,166 | 12/08/2018 | (4) | Common Stock | 4 |
| Market Share Units | (2) | 12/07/2018 | | A | | 2,848 (6) | | 12/08/2018 | (4) | Common Stock | 2 |
| Market Share Units | (2) | 12/08/2018 | | M | | | 2,848 | 12/08/2018 | (4) | Common Stock | 2 |
| Performance Share Units | (7) | 12/08/2018 | | M | | | 3,051 | 12/08/2016 ⁽⁸⁾ | (4) | Common Stock | 3 |
| Performance Share Units | (7) | 12/08/2018 | | M | | | 3,659 | 12/08/2017 ⁽⁸⁾ | (4) | Common Stock | 3 |
| Performance Share Units | (7) | 12/08/2018 | | M | | | 3,147 | 12/08/2018 ⁽⁸⁾ | (4) | Common Stock | 3 |
| Restricted Stock Units | (9) | 12/08/2018 | | M | | | 1,372 | 12/08/2016 ⁽¹⁰⁾ | (4) | Common Stock | 1 |
| Restricted Stock Units | (9) | 12/08/2018 | | M | | | 1,563 | 12/08/2017 ⁽¹⁰⁾ | (4) | Common Stock | 1 |
| Restricted Stock Units | (9) | 12/08/2018 | | M | | | 1,180 | 12/08/2018 ⁽¹⁰⁾ | (4) | Common Stock | 1 |
| Restricted Stock Units | (9) | 12/10/2018 | | A | | 4,417 | | 12/10/2019 ⁽¹⁰⁾ | (4) | Common Stock | 4 |

Reporting Owners

Reporting Owner Name / Address

Relationships

Reporting Owners

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Director 10% Owner Officer Other

DEAL RICHARD
181 METRO DRIVE
SAN JOSE, CA 95110

Executive Vice President

Signatures

/s/Carrie H. Darling,
Attorney-in-fact

12/10/2018

__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) Shares withheld by Company for payment of taxes due at vesting from earned performance share units, earned market share units, and restricted stock units.
- (2) Each earned market share unit represents a right to receive one share of Fair Isaac common stock contingent upon continued employment.

On December 8, 2015, the reporting person was granted a target award of 5,488 market share units. The award vests in three equal annual installments from the grant date based on the Company's satisfaction of certain performance criteria for each of the performance periods ending November 30, 2016, 2017, 2018. The performance criteria for 2018 were met, resulting in the award of market share units being reported herein.
- (3) No expiration date.

On December 8, 2016, the reporting person was granted a target award of 6,250 market share units. The award vests in three equal annual installments from the grant date based on the Company's satisfaction of certain performance criteria for each of the performance periods ending November 30, 2017, 2018, 2019. The performance criteria for 2018 were met, resulting in the award of market share units being reported herein.
- (4) On December 8, 2017, the reporting person was granted a target award of 4,720 market share units. The award vests in three equal annual installments from the grant date based on the Company's satisfaction of certain performance criteria for each of the performance periods ending November 30, 2018, 2019, 2020. The performance criteria for 2018 were met, resulting in the award of market share units being reported herein.
- (5) Each earned performance share unit represents a right to receive one share of Fair Isaac common stock contingent upon continued employment.
- (6) The performance share units vest in three equal annual installments commencing on this date and one share will be delivered to the reporting person for each vested unit as soon as practicable thereafter.
- (7) Each restricted stock unit represents a right to receive one share of Fair Isaac common stock contingent upon continued employment.
- (8) The restricted stock units vest in four equal annual installments commencing on this date and vested shares will be delivered to the reporting person as soon as practicable thereafter.
- (9)
- (10)

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.