

## INTEVAC INC

# Reported by **CHO JAY**

### FORM 4

(Statement of Changes in Beneficial Ownership)

### Filed 05/18/20 for the Period Ending 05/15/20

Address 3560 BASSETT STREET

SANTA CLARA, CA, 95054

Telephone 4089869888

CIK 0001001902

Symbol IVAC

SIC Code 3559 - Special Industry Machinery, Not Elsewhere Classified

Industry Industrial Machinery & Equipment

Sector Industrials

Fiscal Year 12/31





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

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

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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 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person *						2. Issuer Name <b>and</b> Ticker or Trading Symbol								5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
Cho Jay				IN	TI	EVAC	INC [ ]	IVA(	C ]								
(Last) (First) (Middle)					3. Date of Earliest Transaction (MM/DD/YYYY)								Director				
(==50) (x =50) (aato)														X Officer (give title below) Other (specify below)			
3560 BASSETT STREET					5/15/2020									ral Mana	ger		
		reet)		4. I	f A	mendme	nt, Date	Origin	al Fi	led (M	M/DI	D/YYYY	6. Individual	or Joint/G	roup Filing	(Check Appl	icable Line)
							Í	Ū							1 0		Í
SANTA CLARA, CA 95054													X Form filed by One Reporting Person Form filed by More than One Reporting Person				
(	City) (S	tate) (Zi	p)										Form filed by	More than C	one Keporting F	rerson	
			Table I	- Non-Der	iva	tive Sec	urities A	cquir	ed, D	ispos	ed o	f, or B	eneficially Own	ed		-	
				. Trans. Date	2A. Deemed Execution		3. Trans. ( (Instr. 8)	Code							es Beneficially Owned		7. Nature of Indirect
(Instr. 3)					Date, if an		(Ilisti. 8)		(Instr. 3, 4 and 5)			)	Following Reported Transaction(s) (Instr. 3 and 4)			Form:	Beneficial
																	Ownership (Instr. 4)
											A) or					(I) (Instr.	(IIISII. 4)
							Code	V	Amo	_	(D)	Price				4)	
Common Stock				5/15/2020			F		116		D	\$5.07		97797		D	
Common Stock				5/15/2020 5/15/2020			F F		116		D D	\$5.07 \$5.07		96636 95552		D D	
Common Stock Common Stock				5/15/2020					1084 3750		A	\$0.0	9332		D		
Common Stock				5/15/2020			M F		116		D	\$5.07		98141		D	
Common Stock				5/15/2020			A		2884		A	\$0.0		126987		D	
							1						<u> </u>			1	l
	Ta	ble II - Dei	rivative S	Securities	Ber	reficially	Owned	(e.g.,	puts	calls	. wa	rrants	, options, conve	rtible seci	urities)		
Title of Derivate		3. Trans.		ed 4. Trans.		5. Numbe		6. Date					and Amount of		9. Number of	10.	11. Nature
Security	Conversion	Date	Execution	Code	Derivative		e Expi		ation Date			Securitie	Underlying Derivative	derivative	Ownership	of Indirect	
(Instr. 3) or Exercise Price of Derivative				(Instr. 8)	Securities (A) or Dis (D) (Instr. 3, 4		sposed of					(Instr. 3	nd 4) (Instr. 5)		Securities Beneficially Owned	Derivative	Beneficial Ownership (Instr. 4)
												(					
	Security				1	(Instr. 3, <sup>2</sup>	4 and 5)			1			Amount or	-	Following Reported	or Indirect	
								Date Exercis	abla	Expira Date	tion	Title	Number of		Transaction(s)		
				Code	V	(A)	(D)	EACICIS	auic	Daic			Shares		(Instr. 4)	4)	
Restricted Stock Units	\$0.0	5/15/2020		M			3750	5/19/20	)17 (1)	<u>(2)</u>	)	Commo		\$0.0	1875	D	

#### **Explanation of Responses:**

- (1) These are restricted stock units awarded to the Reporting Person and each restricted stock unit represents a contingent right to receive one share of IVAC common stock. The restricted stock units vest in four equal installments upon the Reporting Person's completion of each year of service over the four-year period measured from vesting commencement date.
- (2) Vested shares will be delivered to the Reporting Person as soon as possible after each vesting date.

#### **Reporting Owners**

reporting Owners										
Paparting Owner Name / Address	0	Relationships								
Reporting Owner Name / Addres	Director	10% Owner	Officer	Other						
Cho Jay										
3560 BASSETT STREET			EVP & General Manager							
SANTA CLARA, CA 95054										

#### **Signatures**

By: Diane Garibaldi For: Jay Cho

\*\*Signature of Reporting Person

Date

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

\* 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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.