#### SMITH MICRO SOFTWARE INC

Form 4/A March 11, 2016

## FORM 4

#### **OMB APPROVAL**

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

**OMB** 3235-0287 Number:

Check this box if no longer subject to Section 16.

Washington, D.C. 20549

January 31, Expires: 2005

Form 4 or Form 5

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

Estimated average burden hours per response...

obligations may continue. See Instruction

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

0.5

1(b).

Common

Stock (1) Common

Stock

03/07/2016

03/08/2016

(Print or Type Responses)

1. Name and Address of Reporting Person * Yasbek Steven		2. Issuer Name <b>and</b> Ticker or Trading Symbol			5. Relationship of Reporting Person(s) to Issuer				
			SMITH [SMSI]	MICRO	SOFTWARE INC	(Check all applicable)			
(Last)	(First) (	Middle)	3. Date of Earliest Transaction (Month/Day/Year)			Director _X_ Officer (give			
51 COLUM	IBIA		03/07/2	016		below)  VP & Ch	below) & Chief Financial Officer		
		4. If Ame	ndment, Da	ate Original	6. Individual or Joint/Group Filing(Check				
		Filed(Mor	nth/Day/Year	r)	Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person				
ALISO VIE		321331							
(City)	(State)	(Zip)	Tabl	e I - Non-I	Derivative Securities Acq	quired, Disposed of	f, or Beneficial	ly Owned	
1.Title of	2. Transaction Dat	e 2A. Dee	med	3.	4. Securities Acquired	5. Amount of	6. Ownership	7. Nature o	
Security (Month/Day/Year) Execution		on Date, if Transaction		on(A) or Disposed of (D)	Securities	Form: Direct	Indirect		
(Instr. 3)		any		Code	(Instr. 3, 4 and 5)	Beneficially	(D) or	Beneficial	
		(Month/	Day/Year)	(Instr. 8)		Owned	Indirect (I)	Ownership	

Code V

Α

D

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

Following

Reported

493,085

488,612

Transaction(s) (Instr. 3 and 4)

(A)

(D)

A

Price

\$0

\$0

Amount

150,000

4,473 (2) D

(Instr. 4)

D

D

of

(Instr. 4)

#### Edgar Filing: SMITH MICRO SOFTWARE INC - Form 4/A

#### Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative	2. Conversion	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if	4. Transacti	5. orNumber	6. Date Exerc Expiration D		7. Title Amount		8. Price of Derivative	9. Nu Deriv
Security (Instr. 3)	or Exercise Price of Derivative Security	(Month/Day/Tear)	any (Month/Day/Year)	Code (Instr. 8)	of	(Month/Day/		Underly Securiti (Instr. 3	ying ies	Security (Instr. 5)	Secur Bene Owne Follo Repo Trans (Instr
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title N	Amount or Number of Shares		

## **Reporting Owners**

Relationships Reporting Owner Name / Address

> Other Director 10% Owner Officer

Yasbek Steven 51 COLUMBIA ALISO VIEJO, CA 92656

VP & Chief Financial Officer

### **Signatures**

Debra A. Koehler, Attorney in Fact for Steven M. 03/11/2016 Yasbek

> \*\*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).
- Restricted Stock vests over 48 months. 50% of the shares are based on 2015 performance and vest evenly, monthly over 48 months. 50% **(1)** are based on 2016 performance with 25% vesting approximately March 2017 and the remainder evenly, monthly, over the next 36 months
- The shares represent a portion of a performance-based restricted stock award that were forfeited upon reporting of the company's fiscal **(2)** 2015 financial results.

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.

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