Rocket Fuel Inc. Form 4 January 06, 2015

### 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

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

obligations may continue. See Instruction 1(b).

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)

(Last)

(City)

1. Name and Address of Reporting Person \* Frankel Richard A.

(Middle)

(Zip)

(First)

1900 SEAPORT BLVD

(Street)

(State)

2. Issuer Name and Ticker or Trading Symbol

Rocket Fuel Inc. [FUEL]

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

01/02/2015

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

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

**OMB APPROVAL** 

Estimated average

burden hours per

3235-0287

January 31,

2005

0.5

**OMB** 

Number:

Expires:

response...

\_X\_\_ Director 10% Owner Other (specify X\_ Officer (give title below)

Co-Founder and President

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

#### REDWOOD CITY, CA 94063

	Tuble 1 Troil Delivative Securities Required, Disposed oi, of Beneficiany Own									ny Owned
1.Title of Security	2. Transaction Date (Month/Day/Year)	Execution Date, if			4. Securities Acquired n(A) or Disposed of			5. Amount of Securities	6. Ownership Form: Direct	Indirect
(Instr. 3)		any (Month/Day/Year)	Code (Instr. 8	8)	(D) (Instr. 3, 4 and 5)			Beneficially Owned Following	(D) or Indirect (I) (Instr. 4)	Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)	(23.5.1)	(11511)
Common										See
Stock	01/02/2015		G <u>(1)</u>	V	48,847	D	\$0	82,793	I	Footnote (2)
Common Stock	01/02/2015		G <u>(1)</u>	V	48,847	D	\$0	82,793	I	See Footnote (3)
Common Stock	01/02/2015		G <u>(1)</u>	V	97,694	A	\$0	1,806,302	I	See Footnote (4)

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

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.

SEC 1474 (9-02)

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

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	cisable and	7. Tit	le and	8. Price of	9.
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	on Date, if TransactionNuml  Code of		Expiration Date (Month/Day/Year)		Amou	unt of	Derivative	D
Security	or Exercise		any					Unde	rlying	Security	Se
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Secur	rities	(Instr. 5)	В
	Derivative				Securities		(Instr	. 3 and 4)		O	
	Security				Acquired						Fo
	•				(A) or						R
					Disposed						Tı
					of (D)						(I
					(Instr. 3,						
					4, and 5)						
									Amount		
						Date	Expiration Date	Title Nu	or		
						Exercisable					
				G 1 17	(A) (B)						
				Code V	(A) (D)				Shares		

### **Reporting Owners**

Relationships Reporting Owner Name / Address

> Director 10% Owner Officer Other

Frankel Richard A.

1900 SEAPORT BLVD X Co-Founder and President

REDWOOD CITY, CA 94063

## **Signatures**

/s/ Ken Scully, as attorney-in-fact for Richard A. Frankel

01/06/2015

\*\*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).
  - All transactions reflect required annuity payments by each of the Martha M. Conway Grantor Retained Annuity Trust U/T/A May 20,
- (1) 2013 and the Richard A. Frankel Grantor Retained Annuity Trust U/T/A May 20, 2013 to the Martha M. Conway & Richard A. Frankel TR UA 03/13/2009 Conway-Frankel Family Trust.
- Shares held in the name of Martha M. Conway Grantor Retained Annuity Trust U/T/A May 20, 2013. Ms. Conway is the wife of Mr. **(2)** Frankel.
- (3) Shares held by The Richard A. Frankel Grantor Retained Annuity Trust U/T/A May 20, 2013, for which the reporting person is a trustee.
- (4) Shares owned by the Martha M. Conway & Richard A. Frankel TR UA 03/13/2009 Conway-Frankel Family Trust

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.

Reporting Owners 2

9. Nu Deriv Secu Bene Own Follo

Repo Trans Insti