## Edgar Filing: Bergera J. Joseph - Form 4

Bergera J. Joseph Form 4	1									
December 12, 20	18									
FORM 4									PPROVAL	
Washington, D.C. 20549								N OMB Number:	3235-0287	
Check this box if no longer				Expires:	January 31, 2005					
subject to Section 16. Form 4 or		MENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES							average urs per . 0.5	
Form 5 obligations may continue. <i>See</i> Instructior 1(b).	Section 17(	a) of the l	Public U	Itility Ho	lding Co		nge Act of 1934, of 1935 or Secti 940			
(Print or Type Respo	nses)									
1. Name and Addres Bergera J. Josep	Symbol	er Name <b>an</b> 5, INC. []		r Trading	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
(Last)	(First) (	Middle)	3. Date of Earliest Transaction							
1700 CARNEG 100	$12/10/2018$ $-x_{-}$			below)	Officer (give title Other (specify					
	4. If Amendment, Date Original Filed(Month/Day/Year)			<ul> <li>6. Individual or Joint/Group Filing(Check</li> <li>Applicable Line)</li> <li>_X_ Form filed by One Reporting Person</li> <li> Form filed by More than One Reporting</li> </ul>						
SANTA ANA, O	CA 92705						Person		1 0	
(City)	(State)	(Zip)	Tab	ole I - Non-	Derivativ	e Securities A	Acquired, Disposed	of, or Beneficia	lly Owned	
1.Title of Security (Instr. 3)2. Transaction Date (Month/Day/Year)2A. Deemed Execution Date, if any (Month/Day/Year)		3. Transactic Code (Instr. 8)	4. Securities ionAcquired (A) or Disposed of (D) (Instr. 3, 4 and 5) (A)		5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)			
				Code V	Amount	or (D) Price	(Instr. 3 and 4)			
Reminder: Report or	n a separate line	e for each cl	ass of sec	urities bene	eficially ov	vned directly	or indirectly.			
					infor requi	mation con red to resp ays a curre	spond to the colle tained in this form ond unless the fo ntly valid OMB co	n are not rm	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. Deem	ed 4.	5. Number of	6. Date Exercisable and	7. Title and Amount of
Derivative	Conversion	(Month/Day/Year) Execution	Date, if Transac	tionDerivative	Expiration Date	Underlying Securities
Security	or Exercise	any	Code	Securities	(Month/Day/Year)	(Instr. 3 and 4)

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(Instr. 3)	Price of Derivative Security		(Month/Day/Year)	(Instr.	8)	Acquired (A Disposed of (Instr. 3, 4, 5)	f (D)				
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option Right to Buy	\$ 4.16	12/10/2018		A		225,000		(1)	12/09/2028	Common Stock	225,000

er

## **Reporting Owners**

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
Bergera J. Joseph 1700 CARNEGIE AVENUE SUITE 100 SANTA ANA, CA 92705			President and CEO				
Signatures							
/s/ Andrew Schmidt, Attorney i Bergera	in fact for	Joe	12/12/2018				
<u>**</u> Signature of Reporting F	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) Stock option becomes exercisable in a series of four (4) successive equal annual installments (i.e, one-fourth of the shares each year) upon optionee's completion of each year of service over the four (4) year period measured from the grant date.

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.