

IRVIN JOHN
Form 4
January 16, 2018

FORM 4

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

OMB APPROVAL

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

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 *
IRVIN JOHN

2. Issuer Name and Ticker or Trading Symbol
ExOne Co [XONE]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
127 INDUSTRY BOULEVARD

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
01/11/2018

Director 10% Owner
 Officer (give title below) Other (specify below)

NORTH HUNTINGDON, PA 15642

(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 Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| Common Stock, par value \$0.01 | 01/11/2018 | | S ⁽¹⁾ | V 3,100 D | \$ 10.01 223,366 | I ⁽³⁾ | By 20 20 Holdings, LLC |
| Common Stock, par value \$0.01 | 01/12/2018 | | S ⁽¹⁾ | V 1,100 D | \$ 10 222,266 | I ⁽³⁾ | By 20 20 Holdings, LLC |
| Common Stock, par value \$0.01 | 01/12/2018 | | G | V 834 ⁽⁴⁾ D | \$ 0 5,000 | D | |

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) The sales reported on this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by 20 20 Holdings, LLC and Mr. Irvin on November 17, 2017.

The price reported in Column 4 is a weighted average price. The shares sold on January 11, 2018 were sold in multiple transactions at prices ranging from \$10.00 to \$10.03, inclusive. The shares sold on January 16, 2018 were sold in multiple transactions at prices ranging
- (2) from \$10.00 to \$10.07, inclusive. Mr. Irvin undertakes to provide to The ExOne Company, any security holder of The ExOne Company, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in this footnote.
- (3) 20 20 Holdings, LLC is the owner of the listed shares. 20 20 Holdings is a limited liability company beneficially owned by Mr. Irvin's wife and Mr. Irvin, and of which Mr. Irvin is the sole manager and has sole power to vote and dispose of the shares.
- (4) Represents a gift of shares by Mr. Irvin to 20 20 Holdings, LLC.

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.