SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

| OMB Number: | 3235-0287 | | | | | | | | | |
|--------------------------|-----------|--|--|--|--|--|--|--|--|--|
| Estimated average burden | | | | | | | | | | |
| hours per response: | 0.5 | | | | | | | | | |

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* ROSENTHALER ALBERT E | | | | ier Name and Ticke Advisor, Inc. | • | Symbol | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | | | |
|--|------------------------|--|---|--|--|-------------------|--|---|---|---------------|--|--|
| RUSENTHA | LER ALBERI | | | <u>11111001, 11101</u> | [1101] | | X | Director | 10% 0 | Dwner | | |
| (Last) 12300 LIBERTY | (First) 7 BOULEVARD | (Middle) | | e of Earliest Transa 3/2021 | iction (Month/I | Day/Year) | | Officer (give title below) | Other below | (specify) | | |
| , | | | 4. If A | mendment, Date of | Original Filed | (Month/Day/Year) | | /idual or Joint/Grou | p Filing (Check | Applicable | | |
| (Street) | | 00445 | | | | | Line) | Form filed by On | e Reporting Per | son | | |
| ENGLEWOOD | C0 | 80112 | | | | | | Form filed by Mo Person | ore than One Re | porting | | |
| (City) | (State) | (Zip) | | | | | | | | | | |
| | Tab | le I - Nor | n-Derivative S | ecurities Acqu | uired, Disp | osed of, or Benef | ficially | ^v Owned | | | | |
| Date | | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (/ Disposed Of (D) (Instr. 3 5) | | 5. Amount of Securities Beneficially Owned Following | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership | | | |

| | | (Month/Day/Year) | 8) | | | | | Owned Following Reported | (I) (Instr. 4) | Ownership (Instr. 4) |
|-----------------------------|------------|------------------|------|---|--------|---------------|-------|------------------------------------|----------------|-------------------------|
| | | | Code | v | Amount | (A) or (D) | Price | Transaction(s) (Instr. 3 and 4) | | (1130.4) |
| Common Stock ⁽¹⁾ | 06/08/2021 | | A | | 6,002 | A | \$0 | 13,860 | D | |

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

| (| | | | | | | | | | | | | | | |
|---|---|--|---|------------------------------|---|--|---|---------------------|-------------------------|-------|---|--|--|--|--|
| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transa Code (8) | | of Deriv Secu Acqu (A) o Dispo of (D (Insti | 5. Number of Expiration Date Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | | Amount of Securities | | 8. Price of Derivative Security (Instr. 5) | 9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4) | 10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) | |
| | | | | Code | v | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | | | |

Explanation of Responses:

1. Represents shares underlying RSUs granted under the Issuer's 2018 Stock and Annual Incentive Plan in connection with such individual's election to the Issuer's Board of Directors on June 8, 2021. Such RSUs vest in full on June 8, 2022.

<u>/s/ Linda C. Frazier, attorney</u> <u>in fact</u>

06/10/2021

** 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 Number.

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