Sprouts Farmers Market, Inc.

Form 4

August 08, 2013

# 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 obligations

may continue. See Instruction 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(b).

(Last)

(City)

1. Name and Address of Reporting Person \* Nielsen James Leroy

(First) (Middle)

2. Issuer Name and Ticker or Trading Symbol

Sprouts Farmers Market, Inc. [SFM]

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

11811 N.TATUM BLVD, SUITE 2400

(Street)

4. If Amendment, Date Original

Filed(Month/Day/Year)

3.

07/31/2013

PHOENIX, AZ 85028

(State) (Zip)

1. Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year)

(Instr. 3)

Execution Date, if

(Month/Day/Year)

TransactionAcquired (A) or Code (Instr. 8)

Disposed of (D) (Instr. 3, 4 and 5)

4. Securities

Following Reported (A)

Transaction(s) (Instr. 3 and 4) Code V Amount (D) Price

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 required to respond unless the form displays a currently valid OMB control number.

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

1. Title of Derivative Conversion Security or Exercise

3. Transaction Date 3A. Deemed (Month/Day/Year)

Execution Date, if any

4. 5. Number of TransactionDerivative Code Securities

6. Date Exercisable and **Expiration Date** (Month/Day/Year)

7. Title and Amount of **Underlying Securities** (Instr. 3 and 4)

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

OMB

Number:

Expires:

response...

5. Relationship of Reporting Person(s) to

(Check all applicable)

Chief Operating Officer

6. Ownership

Form: Direct

(D) or Indirect Beneficial

6. Individual or Joint/Group Filing(Check

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

(I)

(Instr. 4)

below)

10% Owner Other (specify

7. Nature of

Ownership

(9-02)

(Instr. 4)

Indirect

Issuer

below)

Person

5. Amount of

Securities

Owned

Beneficially

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

Director

Applicable Line)

X\_ Officer (give title

Estimated average

burden hours per

### Edgar Filing: Sprouts Farmers Market, Inc. - Form 4

| (Instr. 3)                           | Price of<br>Derivative<br>Security |               | (Month/Day/Year) | (Instr. | (Instr. 8) Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) |         |     |                     |                    |   |                                  |
|--------------------------------------|------------------------------------|---------------|------------------|---------|---|---------|-----|---------------------|--------------------|---|----------------------------------|
|                                      |                                    |               |                  | Code    | V   | (A)     | (D) | Date<br>Exercisable | Expiration<br>Date | Title   | Amount or<br>Number of<br>Shares |
| Stock<br>Option<br>(right to<br>buy) | \$ 18                              | 07/31/2013(1) |                  | A       |   | 110,000 |     | (2)                 | 07/31/2020         | Common<br>stock, par<br>value<br>\$0.001<br>per share | 110,000                          |

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Nielsen James Leroy 11811 N.TATUM BLVD SUITE 2400 PHOENIX, AZ 85028

**Chief Operating Officer** 

# **Signatures**

/s/ Brandon F. Lombardi, Attorney-in-fact for James Leroy
Nielsen

08/08/2013

\*\*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).
- (1) The securities were granted on July 31, 2013, but their issuance was conditioned upon the consummation of the issuer's initial public offering, which occurred on August 6, 2013.
- 55,000 options become exercisable in equal quarterly installments at the end of each calendar quarter beginning September 30, 2013 and continuing through June 30, 2016 and 55,000 options become exercisable at the end of fiscal 2013, fiscal 2014, fiscal 2015 or fiscal 2016, provided certain corporate performance targets are met.

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