

Zuckerberg Mark  
Form 4  
November 09, 2018

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
Estimated average burden hours per response... 0.5

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 \*  
Zuckerberg Mark

(Last) (First) (Middle)

C/O FACEBOOK, INC., 1601  
WILLOW ROAD

(Street)

MENLO PARK, CA 94025

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
Facebook Inc [FB]

3. Date of Earliest Transaction  
(Month/Day/Year)  
11/08/2018

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| Class A Common Stock            | 11/08/2018                           |  | C                              | V   | 1,444,500 A \$ 0 1,444,500  | I  | By CZI Holdings, LLC <sup>(1)</sup>                   |
| Class A Common Stock            | 11/08/2018                           |  | G <sup>(2)</sup>               | V   | 1,444,500 D \$ 0 0  | I  | By CZI Holdings, LLC <sup>(1)</sup>                   |
| Class A Common Stock            |                                      |  |                                |   | 11,398,356  | I  | By Chan Zuckerberg Foundation <sup>(3)</sup>          |
|                                 |                                      |  |                                |   | 254,066   | I  |   |

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|                            |  |         |  |  |   |   |
|----------------------------|--|---------|--|--|---|---|
| Class A<br>Common<br>Stock |  |         |  |  |   | By Mark<br>Zuckerberg,<br>Trustee Of<br>The Mark<br>Zuckerberg<br>2014 GRAT<br>No. 2 Dated<br>5/8/2014 <sup>(4)</sup> |
| Class A<br>Common<br>Stock |  | 319,631 |  |  | I | By Mark<br>Zuckerberg,<br>Trustee Of<br>The Mark<br>Zuckerberg<br>2014 GRAT<br>No. 3 Dated<br>5/8/2014 <sup>(5)</sup> |
| Class A<br>Common<br>Stock |  | 206,000 |  |  | I | By Chan<br>Zuckerberg<br>Advocacy <sup>(6)</sup>  |

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

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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 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. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable Expiration Date                         | Title Amount or Number of Shares                              |
| Class B<br>Common<br>Stock <sup>(7)</sup>  | <sup>(7)</sup>   | 11/08/2018                           |  | C                              | 1,444,500   | <sup>(7)</sup> <sup>(7)</sup>                            | Class A<br>Common<br>Stock 1,444,500                          |
| Class B<br>Common<br>Stock <sup>(7)</sup>  | <sup>(7)</sup>   |                                      |  |                                |   | <sup>(7)</sup> <sup>(7)</sup>                            | Class A<br>Common<br>Stock 1,908,600                          |
| Class B<br>Common<br>Stock <sup>(7)</sup>  | <sup>(7)</sup>   |                                      |  |                                |   | <sup>(7)</sup> <sup>(7)</sup>                            | Class A<br>Common<br>Stock 5,676,050                          |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |             |       |
|---|---------------|-----------|-------------|-------|
|   | Director      | 10% Owner | Officer     | Other |
| Zuckerberg Mark<br>C/O FACEBOOK, INC.<br>1601 WILLOW ROAD<br>MENLO PARK, CA 94025 | X             | X         | COB and CEO |       |

## Signatures

/s/ Michael Johnson as attorney-in-fact for Mark Zuckerberg 11/09/2018

\*\*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).
- Shares held of record by CZI Holdings, LLC ("CZI"). Mark Zuckerberg, Trustee of The Mark Zuckerberg Trust dated July 7, 2006
- (1) ("2006 Trust") is the sole member of CZI. Mr. Zuckerberg is the sole trustee of the 2006 Trust and, therefore, is deemed to have sole voting and investment power over the securities held by CZI.
- Represents shares of Class A Common Stock that CZI donated as a gift to Silicon Valley Community Foundation ("SVCF"). Neither CZI
- (2) nor the reporting person exercises voting or investment control, directly or indirectly, over SVCF or any of its affiliates, or over the donated shares following this transfer. Neither CZI nor the reporting person has any pecuniary interest in any shares held by SVCF.
- Shares held of record by Mark Zuckerberg, Trustee and Settlor of the Chan Zuckerberg Foundation ("CZ Foundation"). The reporting
- (3) person is deemed to have voting and investment power over the shares held by CZ Foundation, but has no pecuniary interest in these shares.
  - (4) Shares held of record by Mark Zuckerberg, Trustee of The Mark Zuckerberg 2014 GRAT No. 2, dated 5/8/2014.
  - (5) Shares held of record by Mark Zuckerberg, Trustee of The Mark Zuckerberg 2014 GRAT No. 3, dated 5/8/2014.
  - (6) Shares held of record by Chan Zuckerberg Advocacy. The reporting person is deemed to have voting and investment power over the shares held by Chan Zuckerberg Advocacy, but has no pecuniary interest in these shares.
  - (7) The Class B Common Stock is convertible into the issuer's Class A Common Stock on a 1-for-1 basis (a) at the holder's option or (b) upon certain transfers of such shares and has no expiration date.
  - (8) Shares held of record by Mark Zuckerberg, Trustee of the 2006 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.