

GLU MOBILE INC

Form 4

March 04, 2014

**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  
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

## OMB APPROVAL

OMB  
Number: 3235-0287  
Expires: January 31,  
2005  
Estimated average  
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response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
de Masi Niccolo

(Last) (First) (Middle)

C/O GLU MOBILE INC., 500  
HOWARD STREET, SUITE 300

(Street)

SAN FRANCISCO, CA 94105

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol

GLU MOBILE INC [GLUU]

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

02/28/2014

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)

President 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)
Common Stock	02/28/2014		M <sup>(1)</sup>	98,135	A \$ 1.21	143,044	D
Common Stock	02/28/2014		S <sup>(1)</sup>	98,135	D \$ 5.21	44,909	D
Common Stock	03/03/2014		M <sup>(1)</sup>	150,000	A \$ 1.21	194,909	D
Common Stock	03/03/2014		S <sup>(1)</sup>	150,000	D \$ 4.9532 <sup>(2)</sup>	44,909	D
Common Stock	03/04/2014		M <sup>(1)</sup>	304,621	A \$ 1.21	349,530	D

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Common Stock      03/04/2014      S<sup>(1)</sup>      304,621      D      \$ 5.21      44,909      D

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
Stock Option (right to buy)	\$ 1.21	02/28/2014		M <sup>(1)</sup>		98,135		<sup>(3)</sup>	01/04/2016	Common Stock	98,135
Stock Option (right to buy)	\$ 1.21	03/03/2014		M <sup>(1)</sup>		150,000		<sup>(3)</sup>	01/04/2016	Common Stock	150,000
Stock Option (right to buy)	\$ 1.21	03/04/2014		M <sup>(1)</sup>		304,621		<sup>(3)</sup>	01/04/2016	Common Stock	304,621

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
de Masi Niccolo C/O GLU MOBILE INC. 500 HOWARD STREET, SUITE 300 SAN FRANCISCO, CA 94105	X		President and CEO	

## Signatures

/s/ Niccolo M.  
de Masi      03/04/2014

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 stock option exercise and the sale of the underlying option shares were effected pursuant to a trading plan designed to comply with Rule 10b5-1 of the Securities Exchange Act of 1934 that Mr. de Masi entered into on November 6, 2013.  
  
Represents a weighted average price, as this transaction was executed in multiple trades at prices ranging from \$4.88 to \$5.03. The
- (2) reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares sold at each separate price.  
  
The option vested and became exercisable over four years, with 25% of the underlying shares having vested and become exercisable on
- (3) January 4, 2011, the first anniversary of the grant date, with the remaining underlying shares vesting and becoming exercisable in equal monthly installments over the following three years such that the option fully vested on January 4, 2014.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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