Whitehair Chris Form 3/A March 28, 2018

# FORM 3

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES** 

January 31, Expires: 2005

Estimated average burden hours per

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

response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting

Person \* Whitehair Chris

(Last)

(Middle)

Statement

(Month/Day/Year)

02/02/2018

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

SunOpta Inc. [STKL]

(First) 7301 OHMS LANE SUITE 600

(Street)

4. Relationship of Reporting Person(s) to Issuer

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

02/12/2018

(Check all applicable)

SVP, Operations

Director \_X\_\_ Officer

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

6. Individual or Joint/Group

Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Form filed by More than One Reporting Person

4. Nature of Indirect Beneficial

EDINA, MNÂ 55439

(City) (State)

1. Title of Security

(Instr. 4)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned 2. Amount of Securities

Beneficially Owned (Instr. 4)

Ownership Form:

Ownership (Instr. 5) Direct (D) or Indirect

(I) (Instr. 5)

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

SEC 1473 (7-02)

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 control number.

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

1. Title of Derivative Security (Instr. 4)

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

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

4. Conversion or Exercise Price of

5. Ownership Form of Derivative

6. Nature of Indirect Beneficial Ownership

(Instr. 5)

Date Expiration Date

Amount or Title Number of

Shares

Derivative Security

Security: Direct (D) or Indirect

(I) (Instr. 5)

Exercisable

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Restricted Stock Units	(1)	(2)	Common Shares	22,000 (3) \$ (4)	D	Â
Non-Qualified Stock Option (Right to Buy)	(5)	05/24/2027	Common Shares	29,999 <u>(3)</u> \$ 9.5	D	Â
Incentive Stock Option (Right to Buy)	(5)	05/24/2027	Common Shares	10,526 (3) \$ 9.5	D	Â
Restricted Stock Units	(6)	(2)	Common Shares	18,155 (3) \$ (4)	D	Â
Performance Share Units	(7)	(2)	Common Shares	90,777 (3) \$ (8)	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships				
	Director	10% Owner	Officer	Other	
Whitehair Chris 7301 OHMS LANE SUITE 600 EDINA, MN 55439	Â	Â	SVP, Operations	Â	

# **Signatures**

/s/ Jill Barnett,attorney-in-fact 03/28/2018

\*\*Signature of Reporting Person Date

### **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 5(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) On April, 10, 2017 the reporting person was granted 22,000 restricted stock units, vesting in three equal annual installments beginning on the first anniversary of the grant date.
- (2) This award has no expiration date. Units will either vest or be forfeit.
- (3) These shares were omitted from the reporting person's original Form 3.
- (4) Each Restricted Stock Unit represents a contingent right to receive one share of STKL common stock.
- (5) The grant cliff vests after 3 years on May 24, 2020.
- (6) On May 24, 2017 the reporting person was granted 18,155 Restricted Stock Units, vesting in three equal annual installments beginning on the first anniversary of the grant date.
- The Performance Stock Units will vest, if at all, on May 24, 2020 based upon meeting the following stock performance conditions for 20 consecutive trading days: one-third of the Performance Stock Units eligible to vest upon achieving a stock price of \$11.00, one-third of the Performance Stock Units eligible to vest upon achieving a stock price of \$14.00, and one-third of the Performance Stock Units eligible to vest upon achieving a stock price of \$18.00.
- (8) Each Performance Stock Unit represents a contingent right to receive one share of STKL common stock.

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#### **Remarks:**

EXHIBITÂ LIST

Exhibit 24 - Power of Attorney

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

Reporting Owners 2

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