

Tobia Alfred Victor Jr.
Form 4
December 06, 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 *
Tobia Alfred Victor Jr.

2. Issuer Name and Ticker or Trading Symbol
ACACIA RESEARCH CORP
[ACTG]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
767 3RD AVENUE, 15TH FLOOR
(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
11/19/2018

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

NEW YORK, NY 10017

(City) (State) (Zip)

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

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) | |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|--|
| | | | | (A) or (D) | Price | | | |
| Common Stock | 11/19/2018 | | P | 20,000 | A \$ 3.014 | 221,664 | I | By Sidus Investment Management, LLC ⁽¹⁾ |
| Common Stock | 11/20/2018 | | P | 7,700 | A \$ 2.9709 | 229,364 | I | By Sidus Investment Management, LLC ⁽¹⁾ |
| Common Stock | 11/21/2018 | | P | 1,499 | A \$ 3.0057 | 230,863 | I | By Sidus Investment Management, LLC ⁽¹⁾ |

Edgar Filing: Tobia Alfred Victor Jr. - Form 4

| | | | | | | | | |
|--------------|------------|---|-------|---|-----------|---------|---|--|
| Common Stock | 11/30/2018 | P | 3,000 | A | \$ 3.1287 | 233,863 | I | By Sidus Investment Management, LLC ⁽¹⁾ |
| Common Stock | 12/03/2018 | P | 2,500 | A | \$ 3.098 | 236,363 | I | By Sidus Investment Management, LLC ⁽¹⁾ |
| Common Stock | | | | | | 177,957 | I | By Sidus Investment Partners, L.P. ⁽²⁾ |
| Common Stock | 11/20/2018 | P | 8,500 | A | \$ 2.9709 | 495,735 | I | By Sidus Double Alpha Fund, L.P. ⁽³⁾ |
| Common Stock | 11/21/2018 | P | 3,000 | A | \$ 3.0057 | 498,735 | I | By Sidus Double Alpha Fund, L.P. ⁽³⁾ |
| Common Stock | 11/30/2018 | P | 4,300 | A | \$ 3.1287 | 503,035 | I | By Sidus Double Alpha Fund, L.P. ⁽³⁾ |
| Common Stock | 12/03/2018 | P | 5,300 | A | \$ 3.098 | 508,335 | I | By Sidus Double Alpha Fund, L.P. ⁽³⁾ |
| Common Stock | 11/20/2018 | P | 3,800 | A | \$ 2.9709 | 226,944 | I | By Sidus Double Alpha Fund, Ltd. ⁽⁴⁾ |
| Common Stock | 11/21/2018 | P | 847 | A | \$ 3.0057 | 227,791 | I | By Sidus Double Alpha Fund, Ltd. ⁽⁴⁾ |
| Common Stock | 11/30/2018 | P | 2,700 | A | \$ 3.1287 | 230,491 | I | By Sidus Double Alpha Fund, Ltd. ⁽⁴⁾ |
| Common Stock | 12/03/2018 | P | 2,200 | A | \$ 3.098 | 232,691 | I | By Sidus Double Alpha Fund, Ltd. ⁽⁴⁾ |

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

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.

SEC 1474
(9-02)

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

Edgar Filing: Tobia Alfred Victor Jr. - Form 4

| 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) | 8. Price of Derivative Security (Instr. 5) | 9. Number of Derivative Securities Owned Beneficially (Instr. 3, 4, and 5) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|

| Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
|------------------|-----------------|-------|----------------------------|
|------------------|-----------------|-------|----------------------------|

Code V (A) (D)

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| Tobia Alfred Victor Jr. 767 3RD AVENUE 15TH FLOOR NEW YORK, NY 10017 | X | | | |

Signatures

Alfred Victor
Tobia Jr. 12/06/2018

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).
- (1) Shares of common stock held in an account for which Sidus Investment Management, LLC ("Sidus Management") serves as a sub-advisor (the "Managed Account"). The Reporting Person, solely by virtue of his position as a managing member of Sidus Management, the sub-advisor to the Managed Account, may be deemed to beneficially own the shares of common stock directly held in the Managed Account for purposes of Section 16 of the Securities Exchange Act of 1934, as amended ("Section 16"). The Reporting Person expressly disclaims beneficial ownership of such shares of common stock except to the extent of his pecuniary interest therein.
 - (2) Shares of common stock owned directly by Sidus Investment Partners, L.P. ("Sidus Partners"). The Reporting Person, solely by virtue of his position as a managing member of Sidus Management, the investment manager of Sidus Partners, may be deemed to beneficially own the shares of common stock directly held by Sidus Partners for purposes of Section 16. The Reporting Person expressly disclaims beneficial ownership of such shares of common stock except to the extent of his pecuniary interest therein.
 - (3) Shares of common stock owned directly by Sidus Double Alpha Fund, L.P. ("Sidus Double Alpha"). The Reporting Person, solely by virtue of his position as a managing member of Sidus Management, the investment manager of Sidus Double Alpha, may be deemed to beneficially own the shares of common stock directly held by Sidus Double Alpha for purposes of Section 16. The Reporting Person expressly disclaims beneficial ownership of such shares of common stock except to the extent of his pecuniary interest therein.
 - (4) Shares of common stock owned directly by Sidus Double Alpha Fund, Ltd. ("Sidus Double Alpha Offshore"). The Reporting Person, solely by virtue of his position as a managing member of Sidus Management, the investment manager of Sidus Double Alpha Offshore, may be deemed to beneficially own the shares of common stock directly held by Sidus Double Alpha Offshore for purposes of Section 16. The Reporting Person expressly disclaims beneficial ownership of such shares of common stock except to the extent of his pecuniary interest therein.

Edgar Filing: Tobia Alfred Victor Jr. - Form 4

interest therein.

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.