Edgar Filing: MCWATERS KIMBERLY J - Form 4

	S KIMBERLY J										
Form 4	2019										
November 16										PPROVAL	
FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549									3235-0287		
Check this			• • a .5	inigion,	D.C. 20.	//			Expires:	January 31,	
if no longer subject to Section 16. Form 4 or				GES IN I SECUR		CIA	L OW	NERSHIP OF	Estimated a burden hou response	rs per	
Form 5 obligation may contin <i>See</i> Instruct 1(b).	s Section 17(a ction) of the l	Public Ut		ing Com	ipany	Act of	ge Act of 1934, f 1935 or Sectio 40	'n		
(Print or Type R	esponses)										
MCWATERS KIMBERLY J Symbol UNIVE				Issuer Name and Ticker or Trading nbol NIVERSAL TECHNICAL STITUTE INC [UTI]				5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
(Last)	(First) (M	(iddle)						X Director	10%	Owner	
(Mo			(Month/D	 B. Date of Earliest Transaction Month/Day/Year) 11/15/2018 				XOfficer (give titleOther (specify below) below) President and CEO			
				endment, Date Original nth/Day/Year)				6. Individual or Joint/Group Filing(CheckApplicable Line)_X_ Form filed by One Reporting Person			
SCOTTSDA	LE, AZ 85254							Form filed by M Person	More than One Re	eporting	
(City)	(State) (Zip)	Table	e I - Non-De	erivative S	Securi	ties Acc	uired, Disposed o	f, or Beneficial	lly Owned	
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	Executio any	n Date, if	3. 4. Securities Acquired		d of	Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
~				Code V	Amount	(D)	Price	(Instr. 3 and 4)			
Common Stock, \$0.0001 par value	11/15/2018			Р	1,901 (1)	A	\$ 2.68	673,093	D		
Common Stock, \$0.0001 par value								707	I	Spouse	

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

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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 Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exer	cisable and	7. Tit	le and	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transactio	onNumber	Expiration D	ate	Amou	int of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Unde	rlying	Security	Secu
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Secur	ities	(Instr. 5)	Bene
	Derivative				Securities			(Instr	. 3 and 4)		Owne
	Security				Acquired						Follo
					(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						
					4, and 5)						
									Amount		
						Date	Expiration	T . 1	or		
						Exercisable	Date	Title	Number		
					(A) (D)				of		
				Code V	(A) (D)				Shares		

Reporting Owners

Reporting Owner Name / Address	Relationships							
Reporting O when Funite / Funitess	Director	10% Owner	Officer	Other				
MCWATERS KIMBERLY J 16220 N. SCOTTSDALE ROAD SUITE 500 SCOTTSDALE, AZ 85254	х		President and CEO					
Signatures								
/s/ Kimberly J. McWaters 11/1	6/2018							
<u>**</u> 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 purchase reported in this Form 4 was effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on June 4, 2018.

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.