SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

Burke Pamela B.	Date of Event Requiring Stater Month/Day/Yea 06/20/2019	nent 🛛	3. Issuer Name and Ticker or Trading Symbol <u>Grocery Outlet Holding Corp.</u> [GO]					
(Last) (First) (Middle) C/O GROCERY OUTLET HOLDING CORP.			4. Relationship of Reporting Person (Check all applicable) Director Officer (give title	n(s) to Issue 10% Owne Other (spe	r (Mor	5. If Amendment, Date of Original Filed (Month/Day/Year)		
5650 HOLLIS STREET			X below) CAO, GC & Secr	below)	6. In Appl	cable Line)	/Group Filing (Check	
(Street) EMERYVILLE CA 94608							y More than One	
(City) (State) (Zip)								
Table I - Non-Derivative Securities Beneficially Owned								
1. Title of Security (Instr. 4)			eneficially Owned (Instr. 4)			4. Nature of Indirect Beneficial Ownership Instr. 5)		
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. Conversion or Exercise	Form:	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Price of Derivative Security	Direct (D) or Indirect (I) (Instr. 5)		
Stock Options (Right to Buy)	(1)	09/29/2025	Common Stock	90,507	8.11	D		
Stock Options (Right to Buy)	(2)	03/31/2027	Common Stock	35,075	8.57	D		
Stock Options (Right to Buy)	(3)	12/26/2028	Common Stock	49,105	11.64	D		
Stock Options (Right to Buy)	(4)	06/19/2029	Common Stock	63,135	22	D		

Explanation of Responses:

1. These stock options were granted on September 29, 2015 and vest in five equal installments on each of the first five anniversaries of the grant date. Does not include an additional 90,507 stock options with an exercise price of \$4.79 which are eligible to vest upon the achievement of certain performance-based vesting conditions.

2. These stock options were granted on March 31, 2017 and vest in five equal installments on each of the first five anniversaries of the grant date. Does not include an additional 35,075 stock options with an exercise price of \$6.48 which are eligible to vest upon the achievement of certain performance-based vesting conditions.

3. These stock options were granted on December 26, 2018 and vest in five equal installments on each of the first five anniversaries of the grant date. Does not include an additional 49,105 stock options with an exercise price of \$11.64 which are eligible to vest upon the achievement of certain performance-based vesting conditions.

4. These stock options vest on June 19, 2023.

Remarks:

Exhibit List: Exhibit 24 - Power of Attorney

<u>/s/ Pamela B. Burke</u>

** Signature of Reporting Person Date

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

* 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).

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

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 Number.

06/20/2019

POWER OF ATTORNEY

Know all by these presents that the undersigned, does hereby make, constitute and appoint each of Aisha Barbeau, Charles Bracher and Lindsay Gray, or any one of them, as a true and lawful attorney-in-fact of the undersigned with full powers of substitution and revocation, for and in the name, place and stead of the undersigned (in the undersigned's individual capacity), to execute and deliver such forms that the undersigned may be required to file with the U.S. Securities and Exchange Commission as a result of the undersigned's ownership of or transactions in securities of Grocery Outlet Holding Corp. (i) pursuant to Section 16(a) of the Securities Exchange Act of 1934, as amended, including without limitation, statements on Form 3, Form 4 and Form 5 (including any amendments thereto) and (ii) in connection with any applications for EDGAR access codes, including without limitation the Form ID. The Power of Attorney shall remain in full force and effect until the undersigned is no longer required to file Forms 3, 4 and 5 with regard to his or her ownership of or transactions in securities of Grocery Outlet Holding Corp., unless earlier revoked in writing. The undersigned acknowledges that Aisha Barbeau, Charles Bracher and Lindsay Gray are not assuming any of the undersigned's responsibilities to comply with Section 16 of the Securities Exchange Act of 1934, as amended.

> By: /s/ Pamela B. Burke Name: Pamela B. Burke

Date: June 7, 2019