Zoe's Kitchen, Inc. Form 4 February 22, 2017

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB Number:

3235-0287

**OMB APPROVAL** 

Expires:

January 31, 2005

0.5

Estimated average burden hours per

response...

subject to Section 16. Form 4 or Form 5 obligations

may continue.

See Instruction

if no longer

Check this box

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

1(b).

(Last)

(Print or Type Responses)

1. Name and Address of Reporting Person \* Doshi Sunil M

2. Issuer Name and Ticker or Trading Symbol

Issuer

Zoe's Kitchen, Inc. [ZOES]

3. Date of Earliest Transaction

(Check all applicable)

5. Relationship of Reporting Person(s) to

C/O ZOES KITCHEN, 5760 STATE

(First)

(Month/Day/Year) 02/18/2017

X\_ Officer (give title

10% Owner Other (specify

below)

below) Chief Financial Officer

HIGHWAY 121, SUITE 250 (Street)

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

3.

M

6. Individual or Joint/Group Filing(Check Applicable Line)

Director

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

**PLANO, TX 75024** 

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1.Title of Security (Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year) Execution Date, if (Month/Day/Year)

(Middle)

TransactionAcquired (A) or Code Disposed of (D) (Instr. 3, 4 and 5) (Instr. 8)

4. Securities

5. Amount of Securities Beneficially (D) or Owned Following (Instr. 4) Reported

6. Ownership 7. Nature of Form: Direct Indirect Beneficial Indirect (I) Ownership (Instr. 4)

(9-02)

(A) or

Α

(1)

Transaction(s)

(Instr. 3 and 4) Price

1,823

Common Stock

02/18/2017

Code V Amount (D)

1,823

D

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

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

#### Edgar Filing: Zoe's Kitchen, Inc. - 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 orDerivative 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 Underlying Securitie (Instr. 3 and 4)	
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amou or Numb of Sha
Employee Stock Option (right to buy)	\$ 23.26	02/21/2017		A	36,697		<u>(2)</u>	02/21/2027	Common Stock	36,69
Restricted Stock Units	<u>(1)</u>	02/21/2017		A	4,299		(3)	(3)	Common Stock	4,29
Restricted Stock Units	(1)	02/18/2017		M		1,823	<u>(4)</u>	<u>(4)</u>	Common Stock	1,82

# **Reporting Owners**

Reporting Owner Name / Address

Director 10% Owner Officer Other

Doshi Sunil M C/O ZOES KITCHEN 5760 STATE HIGHWAY 121, SUITE 250 PLANO, TX 75024

Chief Financial Officer

## **Signatures**

/s/ Michael Todd as Attorney-in-Fact for Sunil M.

Doshi

02/22/2017

\*\*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) Each restricted stock unit ("RSU") converts into the right to receive one share of common stock upon payment of par value (\$0.01) per share.
- (2) These options were granted pursuant to the 2014 Omnibus Incentive Plan, and are exercisable in 25% cumulative annual increments beginning February 21, 2018.
- (3) The RSUs vest in three equal annual installments beginning on February 18, 2017. Each RSU was granted on February 18, 2016 and was issued pursuant to the Company's 2014 Omnibus Incentive Plan.
- The RSUs vest in three equal annual installments beginning on February 18, 2017. Each RSU was granted on February 18, 2016 and was (4) issued pursuant to the Company's 2014 Omnibus Incentive Plan. This Form 4 reflects the vesting of these RSUs on February 18, 2017 as to 33.33% of the original RSU grant amount.

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