

SPLUNK INC

Form 4

November 05, 2013

**FORM 4****UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

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

## OMB APPROVAL

OMB  
Number: 3235-0287  
Expires: January 31,  
2005  
Estimated average  
burden hours per  
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
**STEIN LEONARD R**

(Last) (First) (Middle)

**C/O SPLUNK INC., 250  
BRANNAN STREET**

(Street)

**SAN FRANCISCO, CA 94107**

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol  
**SPLUNK INC [SPLK]**

3. Date of Earliest Transaction  
(Month/Day/Year)  
**11/01/2013**

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

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

SVP, General Counsel &amp; Sec.

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
\_\_\_\_X\_\_\_\_ 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<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired<br>(A) or Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|-------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-------------------------------------------------------------------|
| Common<br>Stock                       | 11/01/2013                              |                                                             | M                                    | 10,000                                                                  | A \$ 2.14                                                                                                          | 52,669                                                               | D                                                                 |
| Common<br>Stock                       | 11/01/2013                              |                                                             | S <sup>(1)</sup>                     | 8,500                                                                   | D \$<br>(2) 62.55                                                                                                  | 44,169                                                               | D                                                                 |
| Common<br>Stock                       | 11/01/2013                              |                                                             | S <sup>(1)</sup>                     | 1,300                                                                   | D \$<br>(3) 63.51                                                                                                  | 42,869                                                               | D                                                                 |
| Common<br>Stock                       | 11/01/2013                              |                                                             | S <sup>(1)</sup>                     | 200                                                                     | D \$<br>64.17                                                                                                      | 42,669                                                               | D                                                                 |

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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)

| 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) |
|--------------------------------------------|--------------------------------------------------------|--------------------------------------|----------------------------------------------------|--------------------------------|-----------------------------------------------------------------------------------------|----------------------------------------------------------|---------------------------------------------------------------|
|                                            |                                                        |                                      |                                                    | Code                           | V (A) (D)                                                                               | Date Exercisable Expiration Date                         | Title Amount or Number of Shares                              |
| Employee Stock Option (right to buy)       | \$ 2.14                                                | 11/01/2013                           |                                                    | M                              | 10,000                                                                                  | <sup>(4)</sup> 04/21/2021                                | Common Stock 10,000                                           |

## Reporting Owners

| Reporting Owner Name / Address                                                      | Relationships                                                   |
|-------------------------------------------------------------------------------------|-----------------------------------------------------------------|
| STEIN LEONARD R<br>C/O SPLUNK INC.<br>250 BRANNAN STREET<br>SAN FRANCISCO, CA 94107 | Director 10% Owner Officer Other<br>SVP, General Counsel & Sec. |

## Signatures

/s/ Steve Dean, by power of attorney  
11/05/2013  
\*\*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 sales reported on this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person on September 29, 2012.  
The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$62.17 to \$63.11 ,inclusive. The Reporting Person undertakes to provide to the Issuer, any security holder of the Issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in footnotes (2) and (3) to this Form 4.
- (2)

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- (3) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$63.27 to \$63.91, inclusive.

- The option, representing a right to purchase a total of 50,000 shares, is subject to an early exercise provision pursuant to which all shares
- (4) are immediately exercisable. One-fourth of the shares subject to the option vested on April 4, 2012 and one forty-eighth of the shares vest monthly thereafter.

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

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