

Smith Stephen M
Form 4
January 18, 2018

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 *
Smith Stephen M

(Last) (First) (Middle)

ONE LAGOON DRIVE

(Street)

REDWOOD CITY, CA 94065

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol

EQUINIX INC [EQIX]

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

01/16/2018

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

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

CEO & President

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)
			Code	V	Amount	(A) or (D)	Price		
Common Stock	01/16/2018		M		11,548	A	\$ 0	25,874 ⁽¹⁾	D
Common Stock	01/16/2018		M		3,848	A	\$ 0	29,722	D
Common Stock	01/16/2018		M		3,031	A	\$ 0	32,753	D
Common Stock	01/16/2018		M		2,885	A	\$ 0	35,638	D
Common Stock	01/17/2018		S ⁽²⁾		2,136	D	\$ 440.0837 ⁽³⁾	33,502	D

Edgar Filing: Smith Stephen M - Form 4

Common Stock	01/17/2018	S ⁽²⁾	1,900	D	\$ 441.4713 (4)	31,602	D
Common Stock	01/17/2018	S ⁽²⁾	1,100	D	\$ 442.431 (5)	30,502	D
Common Stock	01/17/2018	S ⁽²⁾	1,900	D	\$ 443.5911 (6)	28,602	D
Common Stock	01/17/2018	S ⁽²⁾	1,370	D	\$ 444.6236 (7)	27,232	D
Common Stock	01/17/2018	S ⁽²⁾	1,750	D	\$ 445.8403 (8)	25,482	D
Common Stock	01/17/2018	S ⁽²⁾	250	D	\$ 446.4766 (9)	25,232	D
Common Stock	01/17/2018	S ⁽²⁾	300	D	\$ 448.6133 (10)	24,932	D

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
Restricted Stock Units	\$ 0	01/16/2018		A		11,548		(11)	(12)	Common Stock	11,548
Restricted Stock Units	\$ 0	01/16/2018		M		11,548		(11)	(12)	Common Stock	11,548
	\$ 0	01/16/2018		M		3,848		(13)	(12)		3,848

Restricted
Stock
Units

Common
Stock

Restricted
Stock
Units

\$ 0

01/16/2018

M

3,031

(14)

(12)

Common
Stock

3,031

Restricted
Stock
Units

\$ 0

01/16/2018

M

2,885

(15)

(12)

Common
Stock

2,885

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Smith Stephen M ONE LAGOON DRIVE REDWOOD CITY, CA 94065	X		CEO & President	

Signatures

Samantha
Lagocki, POA

01/18/2018

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) Includes 7 shares acquired under the Equinix, Inc. Employee Stock Purchase Plan on August 14, 2017.
- (2) Shares were sold pursuant to a 10b5-1 Trading Plan in order to raise funds to pay the required withholding tax pursuant to the vesting of RSUs.
- (3) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$439.60 to \$440.57, inclusive. The reporting person undertakes to provide to Equinix, Inc, any security holder of Equinix Inc, 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 4 through 10 to this Form 4.
- (4) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$441.01 to \$441.91 inclusive.
- (5) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$442.04 to \$442.92 inclusive.
- (6) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$443.13 to \$444.11 inclusive.
- (7) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$444.20 to \$445.15 inclusive.
- (8) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$445.33 to \$446.31 inclusive.
- (9) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$446.46 to \$446.56 inclusive.

Edgar Filing: Smith Stephen M - Form 4

- (10) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$448.10 to \$448.87 inclusive.

(11) On February 12, 2015, the reporting person was granted performance restricted stock units, the vesting of which was subject to both continued service and the degree to which a relative Total Shareholder Return target was attained for the period January 1, 2015 to December 31, 2017. The Compensation Committee certified that the payout for this award would be 200% (out of a possible 200%) of the target to the reporting person based on the degree to which Equinix performed against the Russell 1000 Index.

- (12) Restricted stock unit award expires upon reporting person's termination of employment.

(13) Vesting is dependent upon continuous active service as an employee, consultant or director of the Company or a subsidiary of the Company (Service) throughout the vesting period. The Restricted Stock Units shall vest as follows: 33.33% of the RSUs vesting on January 15, 2016 and an additional 33.33% of the RSUs vesting on January 15, 2017 and January 15, 2018.

(14) Vesting is dependent upon continuous active service as an employee, consultant or director of the Company or a subsidiary of the Company (Service) throughout the vesting period. The Restricted Stock Units shall vest as follows: 33.33% of the RSUs vesting on January 15, 2017 and an additional 33.33% of the RSUs vesting on January 15, 2018 and January 15, 2019.

(15) Vesting is dependent upon continuous active service as an employee, consultant or director of the Company or a subsidiary of the Company (Service) throughout the vesting period. The Restricted Stock Units shall vest as follows: 33.33% of the award is scheduled to vest on January 15, 2018, with an additional 33.33% units scheduled to vest on each of January 15, 2019 and January 15, 2020.

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.