Carbonite Inc Form 4 August 18, 2011

# 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 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

(Print or Type Responses)

1(b).

(City)

Common

Stock

1. Name and Address of Reporting Person \* CROSSLINK CAPITAL INC

**OMB APPROVAL** 

OMB Number:

3235-0287

Expires:

January 31, 2005

Estimated average burden hours per

response...

0.5

5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading Issuer Symbol Carbonite Inc [CARB] (Check all applicable) (First) (Middle) (Last) 3. Date of Earliest Transaction (Month/Day/Year) Director 10% Owner \_\_X\_\_ Other (specify Officer (give title TWO EMBARCADERO 08/16/2011 below) below) CENTER, SUITE 2200 Affiliate of Director (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person

SAN FRANCISCO, CA 94111

(State)

08/16/2011

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired Security (Month/Day/Year) Execution Date, if Transaction(A) or Disposed of (D) (Instr. 3) Code (Instr. 3, 4 and 5)

(Zip)

(Month/Day/Year) (Instr. 8)

 $\mathbf{C}$ 

(A) or Code V Amount (D)

(Instr. 3 and 4) Price 988,578 Α (3) 1,988,578

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

Form filed by More than One Reporting

Ι

Beneficial Ownership (Instr. 4)

See Notes (1)(2)

(9-02)

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

Persons who respond to the collection of SEC 1474 information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

Person

5. Amount of

Securities

Following

Reported

Transaction(s)

Owned

Beneficially

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

#### Edgar Filing: Carbonite 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. Transactic 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 of Underlying Securities (Instr. 3 and 4)		
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Series D Preferred Stock	\$ 0 (3)	08/16/2011		C	988,578	(3)	(3)	Common Stock	988,578	

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

CROSSLINK CAPITAL INC TWO EMBARCADERO CENTER SUITE 2200 SAN FRANCISCO, CA 94111

Affiliate of Director

#### **Signatures**

Crosslink Capital, Inc. by Jerome S. Contro, Chief Operating Officer

08/17/2011

\*\*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).

The reporting persons are Crosslink Capital, Inc. ("Crosslink") and Michael J. Stark. The securities reported as beneficially owned by Crosslink include securities also beneficially owned by Crosslink Ventures V Holdings, L.L.C. ("Ventures V Holdings"), Crossover Fund V Management, L.L.C. ("Crossover V Management"), Crossover Fund VI Management, L.L.C. ("Crossover VI Management"), each a

- (1) Delaware limited liability company, and Mr. Stark (collectively, the "Crosslink Affiliates"). Crosslink is an investment adviser to investment funds of which Ventures V Holdings, Crossover V Management or Crossover VI Management is the general partner, manager or holder of Class B Units. Mr. Stark is the control person of Crosslink, Ventures V Holdings, Crossover V Management and Crossover VI Management. Gary Hromadko, an affiliate of Crosslink, is a director of the Issuer and is the representative of Crosslink and the Crosslink Affiliates.
  - Crosslink and the Crosslink Affiliates disclaim membership in a group within the meaning of Rule 13d-5(b) under the Securities Exchange Act of 1934, as amended. These securities are held directly by investment funds to which Crosslink is investment adviser for the benefit of the investors in those funds. These securities are indirectly beneficially owned by Crosslink in such capacity as investment adviser, by Ventures V Holdings, Crossover V Management or Crossover VI Management as the general partner, manager or holder of Class B Units of one or more of those funds, and by Mr. Stark as the control person of those entities. Crosslink and the Crosslink Affiliates disclaim beneficial ownership of such securities except to the extent of their respective pecuniary interest therein.
- (3) Each share of Series D Preferred Stock automatically converted into three shares of the Issuer's common stock on the completion of the Issuer's public offering and had no expiration date.

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.

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