

IRVIN JOHN
Form 4
November 22, 2017

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
IRVIN JOHN

(Last) (First) (Middle)

127 INDUSTRY BOULEVARD

(Street)

NORTH HUNTINGDON, PA 15642

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
ExOne Co [XONE]

3. Date of Earliest Transaction
(Month/Day/Year)
11/20/2017

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)

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, par value \$0.01 | 11/20/2017 | | S ⁽¹⁾ | | 3,606 | D | \$ 11.54 <u>(2)</u> | 91,394 | I ⁽³⁾ | By 20 20 Holdings, LLC |
| Common Stock, par value \$0.01 | 11/21/2017 | | S ⁽¹⁾ | | 5,300 | D | \$ 11.73 <u>(2)</u> | 86,094 | I ⁽³⁾ | By 20 20 Holdings, LLC |
| Common Stock, par value \$0.01 | 11/22/2017 | | S ⁽¹⁾ | | 2,602 | D | \$ 11.7 <u>(2)</u> | 83,492 | I ⁽³⁾ | By 20 20 Holdings, LLC |

| | | | |
|-----------------------------------------|---------|--------------|---------|
| Common Stock, par value \$0.01 | 154,300 | D | |
| Common Stock, par value \$0.01 | 3,000 | I <u>(4)</u> | By wife |

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) | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secur Benef Own Follo Repor Trans (Instr |
|-----------------------------------------------------|--------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|---------------------------------------------------------------------------|-----------------------------------------------------|------------------------------------------------------------------------------|
|-----------------------------------------------------|--------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|---------------------------------------------------------------------------|-----------------------------------------------------|------------------------------------------------------------------------------|

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--------------------------------------------------------------------|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| IRVIN JOHN 127 INDUSTRY BOULEVARD NORTH HUNTINGDON, PA 15642 | | X | | |

Signatures

| | |
|----------------------------------------------------------|------------|
| /s/ Loretta L. Benec, attorney-in-fact for John Irvin | 11/22/2017 |
| **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) The sales reported on this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by 20 20 Holdings, LLC and Mr. Irvin on November 17, 2017.

The price reported in Column 4 is a weighted average price. The shares sold on November 20, 2017 were sold in multiple transactions at prices ranging from \$11.39 to \$11.71, inclusive. The shares sold on November 21, 2017 were sold in multiple transactions at prices ranging from \$11.56 to \$12.00, inclusive. The shares sold on November 22, 2017 were sold in multiple transactions at prices ranging from \$11.45 to \$11.78, inclusive. Mr. Irvin undertakes to provide to The ExOne Company, any security holder of The ExOne Company, 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 this footnote.
- (2) 20 20 Holdings, LLC is the owner of these shares. 20 20 Holdings is a limited liability company of which Mr. Irvin is the sole manager and has sole power to vote and dispose of the shares.
- (3) Mr. Irvin's wife is the owner of the 3,000 shares. Mr. Irvin disclaims beneficial ownership of these shares, and this report shall not be deemed to be an admission that Mr. Irvin is the beneficial owner of the securities for purposes of Section 16 or for any other purpose.

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.