SEC Form 4

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FORM 4

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

OMB APPROVAL

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|--------------------------|-----------|--|--|--|--|--|--|--|--|
| OMB Number: | 3235-0287 | | | | | | | | |
| Estimated average burden | | | | | | | | | |
| hours per response | : 0.5 | | | | | | | | |

| Check this box if no longer subject to Section 16. Form 4 or Form 5 | S |
|---|---|
| obligations may continue. See Instruction 1(b). | |

TATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

| 1. Name and Address of Reporting Person* <u>SCALZO JOSEPH</u> | | | | 2. Issuer Name and Ticker or Trading Symbol <u>Simply Good Foods Co</u> [SMPL] | | | | | | | 5. Relationship of Reporting Person(s) to Issue (Check all applicable) X Director 10% Owne | | |
|--|-------------------------|---|--------------------------------------|--|--|-------|------------|--------|---|--|--|----------------|---------------|
| (Last) 1225 17TH S | (First) TREET, SUITE | (Midd) 1000 | | 3. Date of Earliest Transaction (Month/Day/Year) 10/22/2021 | | | | | | X Officer (give title Other below) below) CEO and President | | | (specify) |
| (Street) | | | · | 4. If Amendment, Date of Original Filed (Month/Day/Year) | | | | | 6. Indiv Line) | idual or Joint/Grou | Filing (Check | Applicable | |
| DENVER | CO | 8020 | 2 | | | | | | | X | Form filed by One Reporting Person | | son |
| (City) | (State) | (Zip) | | | | | | | | | Form filed by Mo Person | re than One Re | porting |
| | | Table I - I | Non-Derivati | ve Securities A | cquir | ed, C | Disposed (| of, or | Benef | icially | Owned | | |
| 1. Title of Security (Instr. 3) Date (Month/Day/Ye | | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transa Code (8) Code | | 4. Securities Disposed Of Amount | | | | 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) | | |

| | | | 0000 | · · | | (D) | | (Instr. 3 and 4) | | |
|---|------------|--|------------------|-----|--------|-----|--------------------------|------------------|---|------------|
| Common Stock | 10/22/2021 | | S ⁽¹⁾ | | 95,558 | D | \$36.8731 ⁽²⁾ | 55,003 | Ι | By GRAT |
| Common Stock | | | | | | | | 73,321 | Ι | By Trust |
| Common Stock | | | | | | | | 107,809 | D | |
| 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. Transa Code (8) | | of Deriv Secu Acqu (A) of Dispo of (D) (Instr | 5. Number of Expiration Date (Month/Day/Year) Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | | Date Amount of /Year) Securities | | | mount of ecurities nderlying erivative ecurity (Instr. 5) | | 11. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---|---|--|---|------------------------------|---|--|---|---------------------|-------------------------------------|-------|--|---|--|--|
| | | | | Code | v | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | | |

Explanation of Responses:

1. This transaction was effective pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person on 8/16/2021. The Rule 10b5-1 trading plan, which was structured to include several sale periods, was established as part of the Reporting Person's long-term strategy for asset diversification and financial, retirement, estate and tax planning activities over a period of time.

2. The price reported in Column 4 is a weighted average price. The shares were sold in multiple transactions at prices ranging from \$36.50 to \$37.33, inclusive. The reporting person undertakes to provide to the issuer, any stockholder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares purchased at each separate price within the range set forth in this footnote.

Remarks:

/s/ Timothy R. Kraft, as Attorney-in-Fact for Joseph E. 10/25/2021 **Scalzo**

** Signature of Reporting Person Date

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

* 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).

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

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 Number.