Keller Robert Andrew Form 4 March 16, 2018

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB Number:

3235-0287

Expires:

January 31, 2005

0.5

Estimated average burden hours per

**OMB APPROVAL** 

response...

if no longer subject to Section 16. Form 4 or Form 5 obligations

may continue.

See Instruction

Check this box

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* Keller Robert Andrew

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

PGT Innovations, Inc. [PGTI]

(Check all applicable)

(Last)

(First) (Middle) 3. Date of Earliest Transaction

Director X\_ Officer (give title

10% Owner Other (specify

1070 TECHNOLOGY DRIVE

(Month/Day/Year) 03/15/2018

below) SR VP OPERATIONS

6. Individual or Joint/Group Filing(Check

(Street)

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

(Instr. 8)

Applicable Line)

\_X\_ Form filed by One Reporting Person

Form filed by More than One Reporting Person

below)

NORTH VENICE, FL 34275

(City) (State) (Zip) 1.Title of 2. Transaction Date 2A. Deemed

3. 4. Securities (Month/Day/Year) Execution Date, if TransactionAcquired (A) or Code Disposed of (D)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 5. Amount of Securities Beneficially Owned

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

(A)

(Instr. 3, 4 and 5)

Following Reported Transaction(s)

(Instr. 3 and 4) Code V Amount (D) Price

**PGTI** 

Stock

Security

(Instr. 3)

Common 03/15/2018 4,267 (1)

\$0 14.625

D

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

(Month/Day/Year)

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)

#### Edgar Filing: Keller Robert Andrew - Form 4

| 1. Title of | 2.          | 3. Transaction Date | 3A. Deemed         | 4.                | 5.                                   | 6. Date Exerc | cisable and                 | 7. Title  | and         | 8. Price of | 9. Nu  |
|-------------|-------------|---------------------|--------------------|-------------------|--------------------------------------|---------------|-----------------------------|-----------|-------------|-------------|--------|
| Derivative  | Conversion  | (Month/Day/Year)    | Execution Date, if | TransactionNumber |                                      | Expiration D  | ate                         | Amount of |             | Derivative  | Deriv  |
| Security    | or Exercise |                     | any                | Code              | of                                   | (Month/Day/   | Year)                       | Underly   | ing         | Security    | Secu   |
| (Instr. 3)  | Price of    |                     | (Month/Day/Year)   | (Instr. 8)        | Derivative<br>Securities<br>Acquired |               | Securities (Instr. 3 and 4) |           | (Instr. 5)  | Bene        |        |
|             | Derivative  |                     |                    |                   |                                      |               |                             |           |             | Own         |        |
|             | Security    |                     |                    |                   |                                      |               |                             |           |             | Follo       |        |
|             |             |                     |                    |                   | (A) or                               |               |                             |           |             |             | Repo   |
|             |             |                     |                    |                   | Disposed                             |               |                             |           |             |             | Trans  |
|             |             |                     |                    |                   | of (D)                               |               |                             |           |             |             | (Instr |
|             |             |                     |                    |                   | (Instr. 3,                           |               |                             |           |             |             |        |
|             |             |                     |                    |                   | 4, and 5)                            |               |                             |           |             |             |        |
|             |             |                     |                    |                   |                                      |               |                             | Δ         | mount       |             |        |
|             |             |                     |                    |                   |                                      |               |                             | 0         |             |             |        |
|             |             |                     |                    |                   |                                      | Date          | Expiration                  |           | l<br>Jumber |             |        |
|             |             |                     |                    |                   |                                      | Exercisable   | Date                        | 0         |             |             |        |
|             |             |                     |                    | Code V            | (A) (D)                              |               |                             |           | hares       |             |        |

# **Reporting Owners**

Relationships Reporting Owner Name / Address

> Director 10% Owner Officer Other

Keller Robert Andrew 1070 TECHNOLOGY DRIVE NORTH VENICE, FL 34275

SR VP OPERATIONS

## **Signatures**

/s/ Robert A. 03/16/2018 Keller

\*\*Signature of Date Reporting Person

## **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).

On January 31, 2018, the Compensation Committee of the Issuer's Board of Directors determined these performance shares were earned, based on the level of attainment of various financial performance goals. These shares, which were granted in March 2017, are expected to vest in two equal increments on each of March 4, 2019 and March 3, 2020, subject to the grant agreement between the Issuer and the Reporting Person.

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.

Reporting Owners 2