

ALLEN A CLINTON
Form 4
December 07, 2017

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
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(Print or Type Responses)

1. Name and Address of Reporting Person *
ALLEN A CLINTON

(Last) (First) (Middle)

C/O COLLECTORS UNIVERSE,
INC., P.O. BOX 6280

(Street)

NEWPORT BEACH, CA 92658

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
COLLECTORS UNIVERSE INC
[CLCT]

3. Date of Earliest Transaction
(Month/Day/Year)
12/05/2017

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	02/14/2017		G	V	100	D	\$ 0	139,116 ⁽¹⁾	D
Common Stock	10/12/2017		G	V	2,475	D	\$ 0	136,641	D
Common Stock	10/13/2017		G	V	475	D	\$ 0	136,166	D
Common Stock	10/19/2017		G	V	350	D	\$ 0	135,816	D
Common Stock	11/21/2017		G	V	200	D	\$ 0	135,616	D

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Common Stock	11/30/2017	G	V	3,000	D	\$ 0	132,616	D
Common Stock	12/05/2017	A		<u>1,555</u> (2)	A	\$ 0	134,171 (3)	D

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

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(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. Number of Derivative Securities Beneficially Owned Following Reported Transaction (Instr. 3)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address	Relationships
ALLEN A CLINTON C/O COLLECTORS UNIVERSE, INC. P.O. BOX 6280 NEWPORT BEACH, CA 92658	Director 10% Owner Officer Other
	X

Signatures

/s/ Allen A. Clinton 12/07/2017

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).

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- (1) Includes 4,404 shares acquired under the Company's Dividend Reinvestment Plan.

Grant of restricted shares that are subject to forfeiture in the event of a cessation of service with the Company prior to vesting. The shares will cease to be subject to the risk of forfeiture (and, therefore, will become vested) as to 388, 389, 389 and 389 of those shares on March 5, 2018, June 5, 2018, September 5, 2018 and December 5, 2018, respectively, provided that the reporting person is still in the service of the Company on such date.

- (2)
- (3) Includes 5,947 shares owned by Mr. Allen's spouse. The undersigned reporting person does not have any pecuniary interest in and disclaims beneficial ownership of those shares.

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

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