

Hausmann Robert C  
Form 4/A  
August 23, 2018

# FORM 4

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

OMB APPROVAL

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## 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 \*  
Hausmann Robert C

(Last) (First) (Middle)

2711 N. HASKELL  
AVENUE, SUITE 2200

(Street)

DALLAS, TX 75204

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
ZIX CORP [ZIXI]

3. Date of Earliest Transaction  
(Month/Day/Year)  
08/08/2018

4. If Amendment, Date Original Filed(Month/Day/Year)  
08/09/2018

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 Ownership (Instr. 4)
				(A) or (D)	Price		
Common	08/08/2018		M	3,075	A \$ 4.96	71,285	D
Common	08/08/2018		M	3,852	A \$ 3.61	75,137	D
Common	08/08/2018		M	5,000	A \$ 2.4	80,137	D
Common	08/08/2018		M	5,000	A \$ 2.46	85,137	D
Common	08/08/2018		M	36,000	A \$ 1.76	121,137	D
Common	08/08/2018		S	52,927	D \$ 5.6599	68,210	D

(1)

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)	Amount or Number of Shares	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Common Stock Option	\$ 4.96	08/08/2018		M	3,075	<u>(2)</u>	02/12/2027	Common Stock	3,075
Common Stock Option	\$ 3.61	08/08/2018		M	3,852	<u>(4)</u>	02/17/2026	Common Stock	3,852
Common Stock Option	\$ 2.4	08/08/2018		M	5,000	<u>(5)</u>	06/06/2020	Common Stock	5,000
Common Stock Option	\$ 2.46	08/08/2018		M	5,000	<u>(6)</u>	04/08/2020	Common Stock	5,000
Common Stock Option	\$ 1.76	08/08/2018		M	36,000	<u>(7)</u>	01/03/2020	Common Stock	36,000

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Hausmann Robert C 2711 N. HASKELL AVENUE SUITE 2200 DALLAS, TX 75204	X			

## Signatures

/s/ Noah F. Webster,  
Attorney-in-Fact

08/23/2018

\_\_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 price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$5.65 to \$5.66. The reporting person undertakes to provide to Zix Corporation, any security holder of Zix Corporation, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within such range.

(2) Grant of 3,075 options on February 13, 2017 vested quarterly and pro-rata over one year. These options expire February 12, 2027.

(3) This Form 4/A amends the Form 4 filed by the Reporting Person on August 9, 2018. The amount of securities directly beneficially owned by the Reporting Person has been historically reported incorrectly and the resulting amount of derivative securities beneficially owned following each of the transactions set forth in Table II should have been reported as set forth in column 9 of Table II of this Form 4/A.

(4) Grant of 3,852 options on February 18, 2016 vested quarterly and pro-rata over one year. These options expire February 17, 2026.

(5) Grant of 5,000 options on June 7, 2010 vested quarterly and pro-rata over one year. These options expire June 6, 2020.

(6) Grant of 5,000 options on April 9, 2010 vested quarterly and pro-rata over one year. These options expire April 8, 2020.

(7) Grant of 36,000 options on January 4, 2010 vested quarterly and pro-rata over one year. These options expire January 3, 2020.

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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