# SEC Form 4

П

(Street) **MEMPHIS** 

(City)

# FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

(State)

to

(Zip)

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

#### OMB APPROVAL OMB Number: 3235-0287 Estimated average burden hours por rosp 0.5

Form filed by More than One Reporting

Person

| Instruction 1(b)              | ).                    |               | Filed | pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940 |                        | L                                |                 |                                 |
|-------------------------------|-----------------------|---------------|-------|-------------------------------------------------------------------------------------------------------------------------|------------------------|----------------------------------|-----------------|---------------------------------|
| 1. Name and Addi<br>GILES WIL | 1 0                   | Person*       |       | 2. Issuer Name <b>and</b> Ticker or Trading Symbol<br><u>AUTOZONE INC</u> [ AZO ]                                       |                        | all applicable Director          | ,               | 10% Owner                       |
| (Last)<br>123 SOUTH F         | (First)<br>RONT STREE | (Middle)<br>T |       | 3. Date of Earliest Transaction (Month/Day/Year) 12/12/2019                                                             | X                      | Officer (give<br>below)<br>Exect | utive V.P. &    | Other (specify<br>below)<br>CFO |
| (Street)                      | TN                    | 38103         |       | 4. If Amendment, Date of Original Filed (Month/Day/Year)                                                                | 6. Indiv<br>Line)<br>X |                                  | Group Filing (C | Check Applicable                |

## Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction<br>Date<br>(Month/Day/Year) 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) 3.<br>Transaction<br>Code (Instr. 8) 4. Securities Acquired (A) or Disp<br>Of (D) (Instr. 3, 4 and 5) |  | d (A) or Disposed<br>5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned Following<br>Reported | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |                                   |                                    |   |            |
|---------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|-------------------------|---------------------------------------------------------------------------|-------------------------------------------------------------------|-------------------------------------------------------------------|-----------------------------------|------------------------------------|---|------------|
|                                 |                                                                                                                                                                                                              |  | Code                    | v                                                                         | Amount                                                            | (A) or<br>(D)                                                     | Price                             | Transaction(s)<br>(Instr. 3 and 4) |   | (1150.4)   |
| Common Stock                    | 12/12/2019                                                                                                                                                                                                   |  | М                       |                                                                           | 12,000                                                            | A                                                                 | \$326                             | 17,152.1091                        | D |            |
| Common Stock                    | 12/12/2019                                                                                                                                                                                                   |  | М                       |                                                                           | 125                                                               | A                                                                 | \$326                             | 17,277.1091                        | D |            |
| Common Stock                    | 12/12/2019                                                                                                                                                                                                   |  | S                       |                                                                           | 89                                                                | D                                                                 | \$1,253.26                        | 17,188.1091                        | D |            |
| Common Stock                    | 12/12/2019                                                                                                                                                                                                   |  | S                       |                                                                           | 100                                                               | D                                                                 | \$1,232                           | 17,088.1091                        | D |            |
| Common Stock                    | 12/12/2019                                                                                                                                                                                                   |  | S                       |                                                                           | 200                                                               | D                                                                 | <b>\$1,252.005</b> <sup>(1)</sup> | 16,888.1091                        | D |            |
| Common Stock                    | 12/12/2019                                                                                                                                                                                                   |  | S                       |                                                                           | 600                                                               | D                                                                 | \$1,250.0383(2)                   | 16,288.1091                        | D |            |
| Common Stock                    | 12/12/2019                                                                                                                                                                                                   |  | S                       |                                                                           | 1,208                                                             | D                                                                 | \$1,240.011 <sup>(3)</sup>        | 15,080.1091                        | D |            |
| Common Stock                    | 12/12/2019                                                                                                                                                                                                   |  | S                       |                                                                           | 4,400                                                             | D                                                                 | \$1,231.4159(4)                   | 10,680.1091                        | D |            |
| Common Stock                    | 12/12/2019                                                                                                                                                                                                   |  | S                       |                                                                           | 5,403                                                             | D                                                                 | \$1,230.2379(5)                   | 5,277.1091                         | D |            |
| Common Stock                    |                                                                                                                                                                                                              |  |                         |                                                                           |                                                                   |                                                                   |                                   | 4,000                              | I | By<br>GRAT |

## Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

|                                                                          | (                                                                     |                                            |                                                             |                              |   |          |        |                                                |                    |                                                                                               |                                        |                                                     |                                                                                                                            |                                                                          |                                                                    |
|--------------------------------------------------------------------------|-----------------------------------------------------------------------|--------------------------------------------|-------------------------------------------------------------|------------------------------|---|----------|--------|------------------------------------------------|--------------------|-----------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------|--------------------------------------------------------------------|
| 1. Title of<br>Derivative<br>Security<br>(Instr. 3)                      | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4.<br>Transa<br>Code (<br>8) |   | ction of |        | 6. Date Exerc<br>Expiration Da<br>(Month/Day/Y | ate                | 7. Title and Amount<br>of Securities<br>Underlying<br>Derivative Security<br>(Instr. 3 and 4) |                                        | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 4) | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|                                                                          |                                                                       |                                            |                                                             | Code                         | v | (A)      | (D)    | Date<br>Exercisable                            | Expiration<br>Date | Title                                                                                         | Amount<br>or<br>Number<br>of<br>Shares |                                                     |                                                                                                                            |                                                                          |                                                                    |
| Incentive<br>Stock<br>Option<br>(Right to<br>Buy) <sup>(6)</sup>         | \$326                                                                 | 12/12/2019                                 |                                                             | М                            |   |          | 125    | (7)                                            | 09/27/2021         | Common<br>Stock                                                                               | 125                                    | \$0.0000                                            | 0.0000                                                                                                                     | D                                                                        |                                                                    |
| Non-<br>Qualified<br>Stock<br>Option<br>(right to<br>buy) <sup>(6)</sup> | \$326                                                                 | 12/12/2019                                 |                                                             | М                            |   |          | 12,000 | (7)                                            | 09/28/2021         | Common<br>Stock                                                                               | 12,000                                 | \$0.0000                                            | 0.0000                                                                                                                     | D                                                                        |                                                                    |

### Explanation of Responses:

1. This price represents the weighted average price per share of common Stock of AutoZone, Inc. (the "Issuer"), par value \$0.01 per share (each a "Share"), of sales that were executed at prices ranging from \$1,252.00 - \$1,252.01 per Share. The Reporting Person undertakes to provide, upon request by the Securities and Exchange Commission staff, the Issuer or a security holder of the Issuer, full information regarding the number of Shares sold at each price.

2. This price represents the weighted average price per share of common Stock of AutoZone, Inc. (the "Issuer"), par value \$0.01 per share (each a "Share"), of sales that were executed at prices ranging from \$1,250.00 - \$1,250.18 per Share. The Reporting Person undertakes to provide, upon request by the Securities and Exchange Commission staff, the Issuer or a security holder of the Issuer, full information regarding the number of Shares sold at each price.

3. This price represents the weighted average price per share of common Stock of AutoZone, Inc. (the "Issuer"), par value \$0.01 per share (each a "Share"), of sales that were executed at prices ranging from \$1,240.00 - \$1,240.39 per Share. The Reporting Person undertakes to provide, upon request by the Securities and Exchange Commission staff, the Issuer or a security holder of the Issuer, full information regarding the number of Shares sold at each price.

4. This price represents the weighted average price per share of common Stock of AutoZone, Inc. (the "Issuer"), par value \$0.01 per share (each a "Share"), of sales that were executed at prices ranging from \$1,231.00 - \$1,231.94 per Share. The Reporting Person undertakes to provide, upon request by the Securities and Exchange Commission staff, the Issuer or a security holder of the Issuer, full information regarding the number of Shares sold at each price.

5. This price represents the weighted average price per share of common Stock of AutoZone, Inc. (the "Issuer"), par value \$0.01 per share (each a "Share"), of sales that were executed at prices ranging from \$1,230.00 - \$1,230.97 per Share. The Reporting Person undertakes to provide, upon request by the Securities and Exchange Commission staff, the Issuer or a security holder of the Issuer, full information regarding the number of Shares sold at each price.

6. Granted in accordance with the AutoZone, Inc. 2011 Equity Incentive Award Plan.

7. Options exercisable in one-fourth increments on September 27, 2012, 2013, 2014 and 2015, respectively.

/s/ William T. Giles

12/13/2019

\*\* 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.