

SECURITIES & EXCHANGE COMMISSION EDGAR FILING

Ecoark Holdings, Inc.

Form: 4

Date Filed: 2017-07-19

Corporate Issuer CIK: 1437491

© Copyright 2017, Issuer Direct Corporation. All Right Reserved. Distribution of this document is strictly prohibited, subject to the terms of use.

FORM 4

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

	OMB APPROVA	L
Ì	OMB Number:	3235-0287
	Estimated average burden I	nours
		0.5

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 or Section 30(h) of the Investment Company Act of 1940

Print or Type Res	sponses)															
 Name and Address of Reporting Person Oliphant Jay T. 				Issuer Name and Ticker or Trading Symbol Ecoark Holdings, Inc. [EARK]							5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner					
3333 S. PINN		(First) S PARKWAY, S	OLUTE 000	Date of Earliest Transaction (Month/Day/Year) 07/17/2017					X Officer (give tit			(specify below)				
(Street) 4. If Amendment, Date Ori				ate Original FiledMonth/Day/Year)						Individual or Joint/Group Filing(Check Applicable Line) X_Form filed by One Reporting Person Form filed by More than One Reporting Person						
(City)	((State)	(Zip)			Tab	le I - No	n-D	erivative	Securit	ties Acc	quired, Disposed o	of, or Benef	ficially Owned		
1.Title of Security 2. Transaction Date (Month/Day/Y				Execution Date, if ear)		(Instr. 8)			4. Securities Acquir or Disposed of (D) (Instr. 3, 4 and 5)				curities Beneficially g Reported Transaction(s)		6. Ownership Form:	Beneficial
				(Month/Da	ay/ rear		ode	٧	Amount	(A) or (D)	Price				. ,	Ownership (Instr. 4)
Ecoark Holdin	ngs, Inc.		07/17/2017			S	<u>(1)</u>		3,323	D	\$ 3.80 (<u>2)</u>	154,177			D	
Reminder: Repor	rt on a separat	te line for each class	s of securities be	neficially own	ed direc	tly or in	directly.									
							Pe foi	rsor rm a		quired t		collection of information of unless the formation				1474 (9-02)
				I - Derivative (e.g., puts	, calls,	warran	ts, optic	ons,	converti	ble sec	urities)					
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security		3A. Deemed Execution Date, any (Month/Day/Yea	(Instr. 8)	De Se Ac Dis	Number privative curities quired (sposed str. 3, 4	(A) or of (D)	and	Date Exer d Expiration onth/Day/	on Date	Unde	le and Amount of erlying Securities : 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported	10. Ownership Form of Derivative Security: Direct (D) or Indirect	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	V	(A)	(D)	Dat Exe	te ercisable	Expiration Date	on Title	Amount or Number of Shares		Transaction(s) (Instr. 4)		
Reporting	Owner	rs														

Barrandia a Common Nama / Addasa			Relationships	
Reporting Owner Name / Address	Director	10% Owner	Officer	Other
Oliphant Jay T. 3333 S. PINNACLE HILLS PARKWAY SUITE 220 ROGERS, AR 72758			CORPORATE CONTROLLER, PFO	

Signatures

/s/ JAY T OLIPHANT	07/19/2017
-Signature of Reporting Person	Date
BY: TROY RICHARDS, ATTORNEY-IN-FACT	07/19/2017
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).

The transaction reported on this Form 4 was mandated by the issuers election under its 2013 Incentive Stock Plan (the Plan) to require the satisfaction of tax withholding obligations to be funded by a Rule 10b5-1 sell to cover transaction. The reporting person was awarded restricted stock under the Plan and subsequently adopted a Rule 10b5-1 trading plan that allowed dispositions solely for the

- (1) limited purpose of satisfying tax withholding obligations upon the vesting of such award. The transaction reported on this Form 4 does not represent a discretionary trade by the reporting person, but rather was effected pursuant to the reporting persons 10b5-1 trading plan for the limited purpose of satisfying tax withholding obligations upon the partial vesting of the restricted stock awarded under
- The price reported in Column 4 is a weighted average price. These shares were sold in two transactions. 16 shares were sold at \$3.75 and 3,307 were sold at \$3.80. The reporting person (2) undertakes to provide the issuer, any security holder of the issuer or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price set forth in in this footnote.

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.

FORM 4

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

OMB APPROVA	L
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 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 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Re	sponses)													
Name and Add Oliphant Jay		E	2. Issuer Name an Ecoark Holdings	Symbol		Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner								
3333 S. PINN	IACLE HILL	OLUTE OOO	3. Date of Earliest T 07/17/2017	Day/Year)										
(Street)				4. If Amendment, Da	ate Original File	edMon	th/Day/Year)	6. Individual or J _X_ Form filed by One Form filed by Mor	Reporting Pers	son	able Line)		
ROGERS, AF		(State)	(Zip)		Table I - N	on-D)erivative	Securi	ties Acqu	l uired, Disposed (of, or Benef	ficially Owned		
(Instr. 3) Date		2. Transaction Date (Month/Day/Yea	2A. Deemed Execution Date, ar) (Month/Day/Yea	(Instr. 8)	on	or Disposed of (D) (Instr. 3, 4 and 5)		D)		ecurities Beneficially ng Reported Transaction(s)		6. Ownership Form: Direct (D)	7. Nature of Indirect Beneficial Ownership	
				(Month/Day/Tea	Code	V	Amount	(A) or (D)	Price				or Indirect (I) (Instr. 4)	
Ecoark Holdings, Inc. 07/17/2017		07/17/2017		S ⁽¹⁾		3,323	D	\$ 3.80 (2)	154,177			D		
Reminder: Repor	rt on a separat	e line for each class	of securities ben	neficially owned dire	ctly or indirectly	y.								
					fe	orm a		quired	to respon	ollection of inform nd unless the for				1474 (9-02)
			Table II	I - Derivative Secur (e.g., puts, calls,						Owned				
Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	Date (Month/Day/Year)	3A. Deemed Execution Date, i any (Month/Day/Year	(Instr. 8) Se	ion 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) Date Expiration Title Note of the Control of the Cont		e and Amount of rlying Securities . 3 and 4) Amount or Number of Derivative Securities (Instr. 5) Amount or Number of Shares 8. Price of Derivative Securities Security (Instr. 5) Beneficially Owned Following Reported Transaction(s (Instr. 4)		Derivative Security: Direct (D) or Indirect	11. Nature of Indirect Beneficial Ownership (Instr. 4)		

Reporting Owners

Barantina Coman Nama / Addings			Relationships	
Reporting Owner Name / Address	Director	10% Owner	Officer	Other
Oliphant Jay T. 3333 S. PINNACLE HILLS PARKWAY SUITE 220 ROGERS, AR 72758			CORPORATE CONTROLLER, PFO	

Signatures

/s/ JAY T OLIPHANT	07/19/2017
-Signature of Reporting Person	Date
BY: TROY RICHARDS, ATTORNEY-IN-FACT	07/19/2017
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).

The transaction reported on this Form 4 was mandated by the issuers election under its 2013 Incentive Stock Plan (the Plan) to require the satisfaction of tax withholding obligations to be funded by a Rule 10b5-1 sell to cover transaction. The reporting person was awarded restricted stock under the Plan and subsequently adopted a Rule 10b5-1 trading plan that allowed dispositions solely for the

- (1) limited purpose of satisfying tax withholding obligations upon the vesting of such award. The transaction reported on this Form 4 does not represent a discretionary trade by the reporting person, but rather was effected pursuant to the reporting persons 10b5-1 trading plan for the limited purpose of satisfying tax withholding obligations upon the partial vesting of the restricted stock awarded under the Plan
- The price reported in Column 4 is a weighted average price. These shares were sold in two transactions. 16 shares were sold at \$3.75 and 3,307 were sold at \$3.80. The reporting person
- (2) undertakes to provide the issuer, any security holder of the issuer or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price set forth in in this footnote.

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.