

SECURITIES & EXCHANGE COMMISSION EDGAR FILING

Ecoark Holdings, Inc.

Form: 4

Date Filed: 2017-11-21

Corporate Issuer CIK: 1437491

FORM 4

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

OMB APPROVAL

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 Responses)

1. Name and Address of Reporting Person Puchir Jay M.		2. Issuer Name and Ticker or Trading Symbol Ecoark Holdings, Inc. [EARK]		5. Relationship of Reporting Person(s) to Issuer (Check all applicable) ☒ Director ☐ Officer (give title below) ☐ 10% Owner ☐ Other (specify below) CHIEF FINANCIAL OFFICER			
(Last) (First) (Middle) 3333 S. PINNACLE HILLS PARKWAY, SUITE 220		3. Date of Earliest Transaction (Month/Day/Year) 11/20/2017					
(Street) ROGERS, AR 72758		4. If Amendment, Date Original Filed (Month/Day/Year)		6. Individual or Joint/Group Filing (Check Applicable Line) ☒ Form filed by One Reporting Person ☐ Form filed by More than One Reporting Person			
(City) (State) (Zip)		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)
Ecoark Holdings	11/20/2017	11/20/2017	F(1)	10,847 D	\$ 2.49	473,738	D

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

	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)
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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(s) (Instr. 4)	10. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code V (A) (D)		Date Exercisable Expiration Date	Title Amount or Number of Shares				

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Puchir Jay M. 3333 S. PINNACLE HILLS PARKWAY SUITE 220 ROGERS, AR 72758	X		CHIEF FINANCIAL OFFICER	

Signatures

/s/ JAY M PUCHIR	11/21/2017
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 DOES NOT REFLECT A SALE by the reporting person of any shares. The transaction reported on this Form 4 was mandated by the issuer's election under its 2013 Incentive Stock Plan to require the satisfaction of tax withholding obligations through a WITHHOLD TO COVER transaction. The transaction reported on this Form 4 DOES NOT REPRESENT A SALE or discretionary trade by the reporting person, but rather was effected for the limited purpose of satisfying tax withholding obligations upon a partial vesting of the restricted stock awarded to the reporting person under the Plan.

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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1. Name and Address of Reporting Person Puchir Jay M.		2. Issuer Name and Ticker or Trading Symbol Ecoark Holdings, Inc. [EARK]		5. Relationship of Reporting Person(s) to Issuer (Check all applicable) ☒ Director ☐ Officer (give title below) ☐ 10% Owner ☐ Other (specify below) CHIEF FINANCIAL OFFICER			
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Reporting Owner Name / Address	Relationships			
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Puchir Jay M. 3333 S. PINNACLE HILLS PARKWAY SUITE 220 ROGERS, AR 72758	X		CHIEF FINANCIAL OFFICER	

Signatures

/s/ JAY M PUCHIR	11/21/2017
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