Edgar Filing: SMITH MICRO SOFTWARE INC - Form 4

SMITH MICRO SOFTWARE INC Form 4 September 12, 2006 OMB APPROVAL FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION OMB 3235-0287 Washington, D.C. 20549 Number: Check this box January 31, Expires: if no longer 2005 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF subject to Estimated average **SECURITIES** Section 16. burden hours per Form 4 or response... 0.5 Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person * 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading SMITH WILLIAM W JR Issuer Symbol SMITH MICRO SOFTWARE INC (Check all applicable) [SMSI] X_ Director (Last) (First) (Middle) 3. Date of Earliest Transaction X__ 10% Owner X_Officer (give title _ Other (specify (Month/Day/Year) below) below) 51 COLUMBIA, SUITE 200 09/08/2006 President & CEO (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting ALISO VIEJO, CA 92656 Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired (A) 5. Amount of 6. 7. Nature of Security (Month/Day/Year) Execution Date, if Transaction Disposed of (D) Securities Ownership Indirect (Instr. 3) any Code (Instr. 3, 4 and 5) Beneficially Form: Beneficial (Month/Day/Year) Owned Direct (D) Ownership (Instr. 8) Following or Indirect (Instr. 4) Reported (I) (A) Transaction(s) (Instr. 4) or (Instr. 3 and 4) Code V Amount (D) Price The William W. Smith Common I (1) 09/08/2006 S 27.500 D 2.845.115 13 7622 Stock Jr. Revocable Trust The William Common W. Smith I (1) 09/11/2006 S 32.500 D 2,845,115 13 3621 Stock Jr. Revocable Trust

Edgar Filing: SMITH MICRO SOFTWARE INC - Form 4

| Common Stock | ¹⁰ⁿ 09/12/2006 | | S | 40,000 | D \$ 13.4 | .502 ^{2,845} | 5,115 I | <u>(1)</u> | Jr. | iam Smith ocable | | |
|--|---|--------------------------------------|----------------|----------------------|--|-----------------------|--------------------|---|--|---|--|--|
| Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. Persons who respond to the collection of SEC 1474 information contained in this form are not required to respond unless the form displays a currently valid OMB control number. | | | | | | | | | | | | |
| 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 Da (Month/Day/Year | | Code | 5. orNumber of Derivativ Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | Date | 7. Titl Amou Under Securi (Instr. | nt of lying | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secu Bene Owne Follo Repo Trans (Instr | |
| | | | | Code V | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | | |
| Reporting Owners | | | | | | | | | | | | |
| Reporting Owner Name / Address Relationships | | | | | | | | | | | | |
| 51 COLU SUITE 20 | | 2 | ctor 10% Owner | Officer President | & CEO | Other | | | | | | |

Signatures

| Diane Gulling, Attorney in Fact for William W. Smith | 09/12/2006 | | |
|---|------------|--|--|
| **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) Also ownes 80,000 shares direct and 24,000 indirect through the William W. Smith, Jr. IRA

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.