SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person [*] Schwarz Kurt Henry			2. Issuer Name and Ticker or Trading Symbol Marcus & Millichap, Inc. [MMI]		nship of Reporting Person(s) to Issuer Il applicable) Director 10% Owner	
(Last) C/O MARCUS &	(First) MILLICHAP, INC.	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 03/10/2023	Х	Officer (give title below) Chief Accounting O	Other (specify below)
23975 PARK SORRENTO, SUITE 400			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person		
(Street)					Form filed by More than One	
CALABASAS	CA	91302			·	
(City)	(State)	(Zip)				
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned						

1. Title of Security (Instr. 3) 2. Transaction 2A Deemed 4 Securities Acquired (A) or 5 Amount of 6 Ownershin 7 Nature of Disposed Of (D) (Instr. 3, 4 and 5) Execution Date, Transaction Securities Form: Direct (D) Indirect Date Beneficial (Month/Day/Year) if any Code (Instr. Beneficially Owned or Indirect (I) (Month/Day/Year) 8) Following Reported (Instr. 4) Ownership Transaction(s) (Instr. 4) (A) or (Instr. 3 and 4) Code Price v Amount (D) Bv Common Stock 03/10/2023 Μ 130 (1) 6,472 I Α Trust⁽²⁾ By 03/10/2023 F \$32.15(3) Common Stock 54 D 6418 T Trust⁽²⁾ By Common Stock 03/10/2023 М 404 (1) 6.822 I Α Trust⁽²⁾ By \$32.15(3) 03/10/2023 F 149 Common Stock D 6.673 T Trust⁽²⁾ By 03/10/2023 М (1) 6,820 Common Stock 147 A T Trust⁽²⁾ By \$32.15(3) Common Stock 03/10/2023 F 50 D 6,770 Ι Trust⁽²⁾ By Common Stock 03/10/2023 Μ 89 A (1) 6,859 Ι Trust⁽²⁾ By Common Stock 03/10/2023 F 30 D \$32.15(3) 6,829 I Trust⁽²⁾ By Common Stock 03/10/2023 Μ 190 (1) 7,019 I A Trust⁽²⁾ Bv Common Stock 03/10/2023 64 D \$32.15(3) 7,245(4) F I Trust⁽²⁾

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 3. Transaction 3A. Deemed 5. Number of 6. Date Exercisable and 7. Title and Amount of 8. Price of 9. Number of 10 Execution Date, Derivative ecurities Underlying Derivative Conversion Date Transaction Expiration Date derivative Ownership Security (Instr. or Exercise Price of (Month/Day/Year) if any (Month/Day/Year) Code (Instr. Securities (Month/Day/Year) **Derivative Security (Instr** Security Securities Form. Beneficially 8) 3 and 4) (Instr. 5) Direct (D) Acquired (A) Derivative or Disposed Owned or Indirect Security of (D) (Instr. 3, 4 and 5) Following (I) (Instr. 4) Reported Transaction(s) Amount (Instr. 4) Number Date Expiration Code v (A) (D) Exercisable . Date Title of Shares Restricted Stock Common (1) 03/10/2023 Μ 130 (5) 02/26/2028 130 \$0.00 0 D Stock Restricted Stock Common (1) 03/10/2023 Μ 404 (6) 02/13/2029 404 \$0.00 410 D Stock Restricted Stock Common (1) 03/10/2023 147 (7) 02/11/2030 147 D м \$0.00 294 Stock

89

190

(8)

(9)

02/11/2031

02/10/2032

Common

Stock

Common

Stock

89

190

\$0.00

\$0.00

270

761

D

D

Explanation of Responses:

(1)

(1)

1. Title of

Derivative

3)

Units

Units

Units

Units

Units

Restricted Stock

Restricted Stock

1. Each restricted stock unit represents a contingent right to receive one share of the Issuer's common stock.

Μ

М

03/10/2023

03/10/2023

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11. Nature

of Indirect

Beneficial

(Instr. 4)

Ownership

2. Voting and investment power over the shares held by The Schwarz Family Trust dated September 25, 2003 is exercised by the reporting person, as one of the trustees.

3. Shares withheld by the Issuer in payment of the withholding tax liability incurred upon the above-reported settlements of RSUs. The amount of shares withheld is based on the closing sale price on March 10, 2023.

- 4. Includes 290 shares of Common Stock purchased under the Issuer's Employee Stock Purchase Plan.
- 5. The restricted stock units vest in five equal annual installments beginning March 10, 2019.
- 6. The restricted stock units vest in five equal annual installments beginning March 10, 2020.
- 7. The restricted stock units vest in five equal annual installments beginning March 10, 2021.
- 8. The restricted stock units vest in five equal annual installments beginning March 10, 2022.
- 9. The restricted stock units vest in five equal annual installments beginning March 10, 2023.

Remarks:

/s/ Kurt H. Schwarz

** Signature of Reporting Person

03/14/2023 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.