SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL 3235-0287 OMB Number: Estimated average burden

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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 Add	1 0	Person*	2. Issuer Name and Ticker or Trading Symbol Cardlytics, Inc. [CDLX]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
(Last) C/O CARDLY 675 PONCE I	(First) TICS, INC.	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 11/06/2020	Director 10% Owner X Officer (give title below) Other (specify below) Chief Financial Officer					
675 PONCE DE LEON AVENUE NE, SUITE 6000 (Street) ATLANTA GA 30308			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 Form filed by More than One Reporting Person					
(City)	(State)	(Zip)	ative Securities Acquired, Disposed of, or Bene	ficially Owned					

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. Transa Code (8)				5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1130.4)
Common Stock	11/06/2020		S		3,725	D	\$89.3 ⁽¹⁾	8,442	D	
Common Stock	11/09/2020		М		408	A	\$0 ⁽²⁾	8,850	D	
Common Stock	11/09/2020		S ⁽³⁾		112	D	\$100.4 ⁽⁴⁾	8,738	D	

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. Transa Code (8)		on of		6. Date Exerc Expiration Da (Month/Day/)	ate	7. Title and Amount of Securities Underlying Derivative Security (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: 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				
Restricted Stock Units	(2)	11/09/2020		A		408		(5)	(5)	Common Stock	408	\$0	408	D	
Restricted Stock Units	(2)	11/09/2020		М			408	(5)	(5)	Common Stock	408	\$0	0	D	

Explanation of Responses:

1. The price reported is a weighted average sales price. These shares were sold in multiple transactions at prices ranging from \$89.06 to \$89.65, inclusive. The Reporting Person undertakes to provide to 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 within the ranges set forth in footnotes (2) and (4) to this Form 4.

2. Each restricted stock unit ("RSU") represents a contingent right to receive one share of common stock of the Issuer, or at the election of the Issuer, its cash equivalent.

3. Shares sold to satisfy withholding tax obligations upon the delivery of shares of common stock for RSUs granted on November 9, 2020.

4. The price reported is a weighted average sales price. These shares were sold in multiple transactions at prices ranging from \$100.2907 to \$100.405, inclusive.

5. The RSUs are immediately vested.

Remarks:

/s/ Kirk L. Somers, Attorney-

in-Fact

11/1<u>0/2020</u>

** 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.

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