

Singer Eric
Form 4
December 04, 2017

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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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, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person *
Singer Eric

2. Issuer Name and Ticker or Trading Symbol
QUANTUM CORP /DE/ [QTM]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
825 THIRD AVENUE, 33RD FLOOR

3. Date of Earliest Transaction (Month/Day/Year)
12/01/2017

Director 10% Owner
 Officer (give title below) Other (specify below)

(Street)
NEW YORK, NY 10022

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)
Common Stock ⁽¹⁾ ₍₂₎	12/01/2017		A	16,681 ⁽³⁾	A \$ 0 16,681 ⁽⁴⁾ ⁽⁵⁾	D	
Common Stock ⁽¹⁾ ₍₂₎					925,983 ⁽⁴⁾	I	By: VIEX Opportunities Fund, LP - Series One ⁽⁶⁾
Common Stock ⁽¹⁾ ₍₂₎					176,648 ⁽⁴⁾	I	By: VIEX Opportunities Fund, LP - Series Two ⁽⁷⁾

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Common
Stock ⁽¹⁾
(2)

2,588,833 ⁽⁴⁾ I

By: VIEX
Special
Opportunities
Fund III, LP
(8)

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

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(9-02)

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 Owned Following Reporting Transaction (Instr. 5)
				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
Singer Eric 825 THIRD AVENUE 33RD FLOOR NEW YORK, NY 10022	X	X		
VIEX Opportunities Fund, LP Series One 825 THIRD AVENUE 33RD FLOOR NEW YORK, NY 10022		X		
VIEX Opportunities Fund, LP Series Two 825 THIRD AVENUE 33RD FLOOR NEW YORK, NY 10022		X		
		X		

VIEX Special Opportunities Fund III, LP
 825 THIRD AVENUE
 33RD FLOOR
 NEW YORK, NY 10022

VIEX Special Opportunities GP III, LLC
 825 THIRD AVENUE
 33RD FLOOR
 NEW YORK, NY 10022

VIEX GP, LLC
 825 THIRD AVENUE
 33RD FLOOR
 NEW YORK, NY 10022

VIEX Capital Advisors, LLC
 825 THIRD AVENUE
 33RD FLOOR
 NEW YORK, NY 10022

X

X

X

Signatures

*/s/ Astrid Becker-Celik, Attorney in Fact for Eric Singer	12/04/2017
**Signature of Reporting Person	Date
VIEX Opportunities Fund, LP - Series One; By: VIEX GP, LLC; its general partner; By: /s/ *, Managing Member	12/04/2017
**Signature of Reporting Person	Date
VIEX Opportunities Fund, LP - Series Two; By: VIEX GP, LLC; its general partner; By: /s/ *, Managing Member	12/04/2017
**Signature of Reporting Person	Date
VIEX Special Opportunities Fund III, LP; By: VIEX Special Opportunities GP III, LLC; its general partner; By: /s/ *, Managing Member	12/04/2017
**Signature of Reporting Person	Date
VIEX Special Opportunities GP III, LLC; By /s/ *, Managing Member	12/04/2017
**Signature of Reporting Person	Date
VIEX GP, LLC; By: /s/ *, Managing Member	12/04/2017
**Signature of Reporting Person	Date
VIEX Capital Advisors, LLC; By /s/ *, Managing Member	12/04/2017
**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).
- (1) This Form 4 is filed jointly by VIEX Opportunities Fund, LP - Series One ("Series One"), a series of VIEX Opportunities Fund, LP ("VIEX Opportunities"), a series limited partnership, VIEX Opportunities Fund, LP - Series Two ("Series Two"), a series of VIEX Opportunities, VIEX Special Opportunities Fund III, LP ("VSO III"), VIEX GP, LLC ("VIEX GP"), VIEX Special Opportunities GP III, LLC ("VSO GP III"), VIEX Capital Advisors, LLC ("VIEX Capital"), and Eric Singer (collectively, the "Reporting Persons").
- (2) The Reporting Persons are filing this report because each of the Reporting Persons is a member of a Section 13(d) group, disclosed in a Schedule 13D filed on behalf of the Reporting Persons, as it may be amended, which beneficially owns in the aggregate more than 10%

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of the Issuer's outstanding shares of Common Stock. Each Reporting Person disclaims beneficial ownership of the shares of Common Stock reported herein except to the extent of his or its pecuniary interest therein, and this report shall not be deemed to be an admission that any Reporting Person is the beneficial owner of such shares of Common Stock for purposes of Section 16 or for any other purpose.

(3) Restricted stock units will fully vest on the earlier to occur of: i) the date of Quantum Corporation's next Annual Stockholder Meeting; and ii) September 1, 2018.

(4) Reflects a 1-for-8 reverse stock split of the Issuer's common stock effected on April 18, 2017.

(5) Mr. Singer, as the managing member of VIEX GP and VIEX Capital, may be deemed the beneficial owner of the (i) 925,983 Shares owned by Series One, (ii) 176,648 Shares owned by Series Two and (iii) 2,588,833 owned by VSO III.

Shares of Common Stock beneficially owned directly by Series One. VIEX GP, as the general partner of Series One, may be deemed the beneficial owner of the shares of Common Stock beneficially owned by Series One. VIEX Capital, as the investment manager of Series

(6) One, may be deemed the beneficial owner of the shares of Common Stock beneficially owned by Series One. Mr. Singer, as the managing member of each of VIEX GP and VIEX Capital, may be deemed the beneficial owner of the shares of Common Stock beneficially owned by Series One.

Shares of Common Stock beneficially owned directly by Series Two. VIEX GP, as the general partner of Series Two, may be deemed the beneficial owner of the shares of Common Stock beneficially owned by Series Two. VIEX Capital, as the investment manager of Series

(7) Two, may be deemed the beneficial owner of the shares of Common Stock beneficially owned by Series Two. Mr. Singer, as the managing member of each of VIEX GP and VIEX Capital, may be deemed the beneficial owner of the shares of Common Stock beneficially owned by Series Two.

Shares of Common Stock beneficially owned directly by VSO III. VSO GP III, as the general partner of VSO III, may be deemed the beneficial owner of the shares of Common Stock beneficially owned by VSO III. VIEX Capital, as the investment manager of VSO III,

(8) may be deemed the beneficial owner of the shares of Common Stock beneficially owned by VSO III. Mr. Singer, as the managing member of each of VSO GP III and VIEX Capital, may be deemed the beneficial owner of the shares of Common Stock beneficially owned by VSO III.

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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