SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL
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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 [*] Butler Lisa			2. Issuer Name and Ticker or Trading Symbol <u>Vertex</u> , Inc. [VERX]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner							
(Last) C/O VERTEX, 1	(First) (Middle VERTEX, INC.		3. Date of Earliest Transaction (Month/Day/Year) 05/15/2023	X Officer (give title Other (specify below) below) CHIEF ACCOUNTING OFFICER							
2301 RENAISSANCE BLVD			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)							
(Ctreast)				X Form filed by One Reporting Person							
(Street) KING OF PRUSSIA	РА	19406		Form filed by More than One Reporting Person							
			Rule 10b5-1(c) Transaction Indication								
(City)	(State)	(Zip)	X Check this box to indicate that a transaction was made pursuant to a contract, instruction or written plan that is intended to satisfy the affirmative defense conditions of Rule 10b5-1(c). See Instruction 10.								
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned											

4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5) 2. Transaction 5. Amount of 6. Ownership 7. Nature 1. Title of Security (Instr. 3) 2A. Deemed Execution Date if any Transaction Code (Instr. Securities Beneficially Form: Direct (D) or Indirect of Indirect Beneficial (Month/Day/Year) **Owned Following** (Month/Dav/Year) 8) (I) (Instr. 4) Ownership Reported Transaction(s) (Instr. 4) (A) or (D) Code v Amount Price (Instr. 3 and 4) 05/15/2023 \$2.5 Class A Common Stock 10,000 A 10,250 Μ D **S**⁽¹⁾ 05/15/2023 \$19.5648(2) Class A Common Stock 10,000 D 250 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. Transac Code (Ir 8)		of Deri Sec Acq (A) o Disp of (I (Inst	. Number f berivative securities cquired A) or bisposed f (D) Instr. 3, 4 and 5) . Date Exercisable and Expiration Date (Month/Day/Year) isoposed f (D) and and and and and and and and and and		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				
Stock Option	\$2.5	05/15/2023		М			10,000	(3)	02/02/2026	Class A Common Stock	10,000	\$0	50,946	D	

Explanation of Responses:

1. The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 Trading Plan adopted by the Reporting Person on December 16, 2022.

2. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions ranging from \$19.15 to \$19.77, inclusive. The Reporting Person undertakes to provide to the Issuer, any securityholder 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 range set forth above.

3. This option is fully vested and exercisable.

/s/ Lisa Coleman, Attorney-in-05/17/2023

** Signature of Reporting Person Date

Fact

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.