#### Edgar Filing: PROVIDENCE SERVICE CORP - Form 3

#### PROVIDENCE SERVICE CORP

Form 3

August 10, 2015

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

**OMB** Number:

response...

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**OMB APPROVAL** 

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INITIAL STATEMENT OF 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 \*

A Shackelton David Casey

64 E. BROADWAY BLVD.

(Last)

(First)

(Street)

(Middle)

Statement

(Month/Day/Year)

08/06/2015

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

#### PROVIDENCE SERVICE CORP [PRSC]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

(Check all applicable)

Interim CFO

Director \_X\_\_ Officer

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

6. Individual or Joint/Group

Filing(Check Applicable Line) \_X\_ Form filed by One Reporting Person

Form filed by More than One

Reporting Person

TUCSON, AZÂ 85701

(City) (State)

1. Title of Security (Instr. 4)

(Zip)

2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership Form:

Table I - Non-Derivative Securities Beneficially Owned

Direct (D) or Indirect (I)

4. Nature of Indirect Beneficial

Ownership (Instr. 5)

(Instr. 5)

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

> 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 control number.

SEC 1473 (7-02)

## Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 4)

2. Date Exercisable and **Expiration Date** (Month/Day/Year)

3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)

4. Conversion or Exercise Price of

Ownership Form of Derivative Security: Direct (D)

5.

6. Nature of Indirect Beneficial Ownership

(Instr. 5)

Expiration Date Exercisable Date

Amount or Title Number of Shares

Derivative Security

or Indirect (I) (Instr. 5)

1

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Series A Convertible Preferred Stock	(1)	(1)	Common Stock	190	\$ 39.88	D	Â
Stock Option (right to buy)	(2)	09/11/2024	Common Stock	50,000	\$ 43.81	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
reporting of their rand of reduces	Director	10% Owner	Officer	Othe		
Shackelton David Casey 64 E. BROADWAY BLVD. TUCSON Â AZÂ 85701	Â	Â	Interim CFO	Â		

# **Signatures**

/s/ David C.
Shackelton

\*\*Signature of Reporting Person

Date

## **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 5(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).
- Pursuant to the certificate of designation for the Series A Convertible Preferred Stock, upon receipt of stockholder approval by the Issuer's stockholders, each share of Series A Convertible Preferred Stock held by the Reporting Persons will be convertible, at the option of the Reporting Persons, into shares of Common Stock at an initial conversion ratio of approximately 2.5 shares of Common Stock per share of Series A Convertible Preferred Stock.
- (2) Stock options vest in three equal parts on September 11, 2014, June 30, 2015 and June 30, 2016.

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.

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