

Bates Nicholas
 Form 3
 September 08, 2017

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

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 * | | 2. Date of Event Requiring Statement | 3. Issuer Name and Ticker or Trading Symbol | |
| Â Bates Nicholas | | (Month/Day/Year) | Liberty Tax, Inc. [TAX] | |
| (Last) | (First) | (Middle) | 09/06/2017 | |
| 1715 CORPORATE LANDING PARKWAY | | | 4. Relationship of Reporting Person(s) to Issuer | 5. If Amendment, Date Original Filed(Month/Day/Year) |
| (Street) | | | (Check all applicable) | |
| VIRGINIA | | | <input type="checkbox"/> Director | <input type="checkbox"/> 10% Owner |
| BEACH,Â VAAÂ 23454 | | | <input checked="" type="checkbox"/> Officer | <input type="checkbox"/> Other |
| (City) | | | (give title below) | (specify below) |
| (State) | | | VP, Finance | |
| (Zip) | | | | 6. Individual or Joint/Group Filing(Check Applicable Line) |
| | | | | <input checked="" type="checkbox"/> Form filed by One Reporting Person |
| | | | | <input type="checkbox"/> Form filed by More than One Reporting Person |

Table I - Non-Derivative Securities Beneficially Owned

| | | | |
|---------------------------------|---|--|---|
| 1. Title of Security (Instr. 4) | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) | 4. Nature of Indirect Beneficial Ownership (Instr. 5) |
|---------------------------------|---|--|---|

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

SEC 1473 (7-02)

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.

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 Derivative Security | 5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
| | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | |

(Instr. 5)

| | | | | | | | |
|--|------------|------------|----------------------------|-------|----------|---|---|
| Restricted Stock Units | Â (2) | Â (2) | Class A Common Stock | 5,342 | \$ (1) | D | Â |
| Restricted Stock Units | Â (3) | Â (3) | Class A Common Stock | 2,676 | \$ (1) | D | Â |
| Employee Stock Options (Right to Buy) | 09/28/2016 | 09/28/2021 | Class A Common Stock | 9,000 | \$ 22.98 | D | Â |
| Employee Stock Options (Right to Buy) | 09/28/2017 | 09/28/2022 | Class A Common Stock | 9,000 | \$ 22.98 | D | Â |
| Employee Stock Options (Right to Buy) | 09/28/2018 | 09/28/2023 | Class A Common Stock | 9,000 | \$ 22.98 | D | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|---------------|-------|
| | Director | 10% Owner | Officer | Other |
| Bates Nicholas 1715 CORPORATE LANDING PARKWAY VIRGINIA BEACH, VA 23454 | Â | Â | Â VP, Finance | Â |

Signatures

Nicholas Bates 09/08/2017

**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).
- (1) Each Restricted Stock Unit represents the right to receive, at settlement, one share of Class A Common Stock.
 - (2) Issuer has awarded the Reporting Person a one-time retention grant of Restricted Stock Units. One-half of the Restricted Stock Units vest on March 1, 2018 and the other half of the Restricted Stock Units vest on September 1, 2018.
 - (3) Each year for three years starting December 9, 2017, one-third of the Restricted Stock Units shall become vested provided that the Employee is in the employ of the Company at the time of vesting.

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.