## SEC Form 4

# FORM 4

UNITED STATES SECU	RI	ΓIE	S	ANC	) EXCI	HANGE	COMMIS	SION

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 <sup>*</sup> Collins John Matthew		erson*	2. Issuer Name <b>and</b> Ticker or Trading Symbol <u>CALIX, INC</u> [ (CALX) ]		tionship of Reporting Pe all applicable) Director	10% Owner		
(Last) C/O CALIX, II	(First) NC.	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 07/25/2023	X	Officer (give title below) Chief Commercial	Other (specify below) Ops Officer		
2777 ORCHARD PARKWAY			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line) X	ridual or Joint/Group Filin Form filed by One Rep			
(Street) SAN JOSE	CA	95134			Form filed by More that Person	n One Reporting		
(City)	(State)	(Zip)	Rule 10b5-1(c) Transaction Indication					
			Check this box to indicate that a transaction was made pursuant to satisfy the affirmative defense conditions of Rule 10b5-1(c). See In			that is intended to		

#### 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)	Transaction Code (Instr.		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	07/25/2023		М		5,000	A	\$6.95	5,000	D	
Common Stock	07/25/2023		М		5,000	A	\$8.03	10,000	D	
Common Stock	07/25/2023		S		10,000	D	\$47.12(1)	0	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 (lı 8)		of I		6. Date Exercisable and Expiration Date (Month/Day/Year)		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 (right to buy)	\$6.95	07/25/2023		М			5,000	(2)	08/01/2027	Common Stock	5,000	\$0	35,171	D	
Stock Option (right to buy)	\$8.03	07/25/2023		М			5,000	(3)	02/14/2029	Common Stock	5,000	\$0	40,000	D	

Explanation of Responses:

1. Shares sold between \$46.42 and \$47.59 per share at a weighted average price of \$47.12. The reporting person will provide full information regarding the number of shares sold at each sale price upon request.

2. 80,000 of the shares subject to the option grant were fully vested and exercisable on July 17, 2021.

3. 45,000 of the shares subject to the option grant were fully vested and exercisable on February 14, 2023.

#### **Remarks:**

/s/ Tom Gemetti as Attorney-

in-Fact for John Matthew

**Collins** 

07/26/2023

\*\* Signature of Reporting Person Date

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

 $\star$  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.