SEC Form 4

# FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

### STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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).

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> Littlefair Andrew J			2. Issuer Name <b>and</b> Ticker or Trading Symbol <u>Clean Energy Fuels Corp.</u> [ CLNE ]		5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
Littlefall And	<u>lew J</u>			X	Director	10% Owner			
(Last)	(First)	(Middle)		X	Officer (give title below)	Other (specify below)			
C/O CLEAN ENERGY FUELS CORP. 4675 MACARTHUR COURT, SUITE 800 (Street)			3. Date of Earliest Transaction (Month/Day/Year) 01/21/2021		CEO and President				
NEWPORT BEACH	СА	92660	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indivi X	Form filed by One Re	g (Check Applicable Line) porting Person an 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)	Code (Ir	Transaction Disposed Of (D) (In Code (Instr.				Securities Beneficially Owned		7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	(Instr. 3 and 4)		(Instr. 4)
Common Stock	01/21/2021		<b>A</b> <sup>(1)</sup>		122,400 <sup>(2)</sup>	Α	\$ <mark>0</mark>	1,526,374	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)		Derivative				7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	Securities Beneficially Owned Following Reported	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		Transaction(s) (Instr. 4)		
Stock Option (Right to Buy)	\$10.18	01/21/2021		Α		183,600		(2)	01/21/2031	Common Stock	183,600	\$ <mark>0</mark>	183,600	D	

### Explanation of Responses:

1. Represents an award of restricted stock units ("RSUs"). Each RSU represents a contingent right to receive one share of the Issuer's common stock upon the vesting and settlement of the RSU.

2. 34% of the total shares subject to the RSU or stock option award, as applicable, vest on the first anniversary of the date of grant, and 33% vest on each anniversary thereafter until the award is fully vested.

#### /s/ J. Nathan Jensen, Attorney-in-Fact, for Andrew Littlefair

<u>orney-in-</u> ir <u>01/22/2021</u>

Date

\*\* Signature of Reporting Person

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

 $^{\ast}$  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.