

Hortonworks, Inc.
Form 3
December 11, 2014

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

OMB APPROVAL

OMB Number: 3235-0104
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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)

<p>1. Name and Address of Reporting Person *</p> <p>Â Volpi Michelangelo</p> <p>(Last) (First) (Middle)</p> <p>C/O HORTONWORKS, INC.,Â 5470 GREAT AMERICA PARKWAY</p> <p>(Street)</p> <p>SANTA CLARA,,Â CAÂ 95054</p> <p>(City) (State) (Zip)</p>	<p>2. Date of Event Requiring Statement</p> <p>(Month/Day/Year)</p> <p>12/11/2014</p>	<p>3. Issuer Name and Ticker or Trading Symbol</p> <p>Hortonworks, Inc. [HDP]</p>	<p>4. Relationship of Reporting Person(s) to Issuer</p> <p>(Check all applicable)</p> <p><input checked="" type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input type="checkbox"/> Officer <input type="checkbox"/> Other (give title below) (specify below)</p>	<p>5. If Amendment, Date Original Filed(Month/Day/Year)</p>	<p>6. Individual or Joint/Group Filing(Check Applicable Line)</p> <p><input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person</p>
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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)
Common Stock	11,325	I	By Index Ventures IV (Jersey), L.P. <u>(1)</u>
Common Stock	1,074	I	By Index Ventures IV Parallel Entrepreneur Fund (Jersey), L.P. <u>(1)</u>
Common Stock	12,245	I	By Index Ventures V (Jersey), L.P. <u>(1)</u>
Common Stock	99	I	By Index Ventures V Parallel Entrepreneur Fund (Jersey), L.P. <u>(1)</u>
Common Stock	256	I	By: Yucca (Jersey) SLP <u>(1)</u>

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

SEC 1473 (7-02)

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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) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Series B Convertible Preferred Stock	Â (2)	Â (2)	Common	1,287,908	\$ (2)	I	By Index Ventures IV (Jersey), L.P. (1)
Series B Convertible Preferred Stock	Â (2)	Â (2)	Common	122,248	\$ (2)	I	By Index Ventures IV Parallel Entrepreneur Fund (Jersey), L.P. (1)
Series B Convertible Preferred Stock	Â (2)	Â (2)	Common	1,392,480	\$ (2)	I	By Index Ventures V (Jersey), L.P. (1)
Series B Convertible Preferred Stock	Â (2)	Â (2)	Common	11,280	\$ (2)	I	By Index Ventures V Parallel Entrepreneur Fund (Jersey), L.P. (1)
Series B Convertible Preferred Stock	Â (2)	Â (2)	Common	29,141	\$ (2)	I	By: Yucca (Jersey) SLP (1)
Series C Convertible Preferred Stock	Â (2)	Â (2)	Common	117,960	\$ (2)	I	By Index Ventures IV (Jersey), L.P. (1)
Series C Convertible Preferred Stock	Â (2)	Â (2)	Common	11,197	\$ (2)	I	By Index Ventures IV Parallel Entrepreneur Fund (Jersey), L.P. (1)
Series C Convertible Preferred Stock	Â (2)	Â (2)	Common	127,538	\$ (2)	I	By Index Ventures V (Jersey), L.P. (1)
Series C Convertible Preferred Stock	Â (2)	Â (2)	Common	1,033	\$ (2)	I	By Index Ventures V Parallel Entrepreneur Fund (Jersey), L.P. (1)
Series C Convertible Preferred Stock	Â (2)	Â (2)	Common	2,668	\$ (2)	I	By: Yucca (Jersey) SLP (1)
Series D Convertible Preferred Stock	Â (2)	Â (2)	Common	89,932	\$ (2)	I	By Index Ventures IV (Jersey), L.P. (1)

Series	Class	Shares	Value	Holder	Holder Name
Series D Convertible Preferred Stock	Common	8,536	\$ (2)	I	By Index Ventures IV Parallel Entrepreneur Fund (Jersey), L.P. (1)
Series D Convertible Preferred Stock	Common	97,234	\$ (2)	I	By Index Ventures V (Jersey), L.P. (1)
Series D Convertible Preferred Stock	Common	787	\$ (2)	I	By Index Ventures V Parallel Entrepreneur Fund (Jersey), L.P. (1)
Series D Convertible Preferred Stock	Common	2,034	\$ (2)	I	By: Yucca (Jersey) SLP (1)

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Volpi Michelangelo C/O HORTONWORKS, INC. 5470 GREAT AMERICA PARKWAY SANTA CLARA, CA 95054	Â X	Â	Â	Â

Signatures

/s/ David Howard, as Attorney in fact for Michelangelo Volpi 12/11/2014

**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) The Reporting Person is a partner within the Index Ventures group. Advisors within the Index Ventures group provide advice to Index Ventures IV (Jersey), L.P., Index Ventures IV Parallel Entrepreneur Fund (Jersey), L.P., Index Ventures V (Jersey), L.P., Index Ventures V Parallel Entrepreneur Fund (Jersey), L.P. and Yucca (Jersey) SLP (the "Index Funds"). The Reporting Person is involved in making recommendations to the Index Funds, but does not hold voting or dispositive power over the shares held by the Index Funds. The Reporting Person disclaims beneficial ownership of these securities, except to the extent of his pecuniary interest therein, and this report shall not be deemed an admission that the reporting person is the beneficial owner of such securities for Section 16 or any other purpose.

(2) Each share of Series B Convertible Preferred Stock, Series C Convertible Preferred Stock and Series D Convertible Preferred Stock automatically converts into Common Stock on a 2-for-1 basis (for every two preferred, one common) immediately prior to the closing of the Issuer's initial public offering of Common Stock and has no expiration date nor conversion price. The number of underlying shares of Common Stock is shown in the table above.

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.