

SECURITIES & EXCHANGE COMMISSION EDGAR FILING

QUANTUM CORP /DE/

Form: 4

Date Filed: 2020-04-08

Corporate Issuer CIK: 709283

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FORM 4

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

OMB APPROVA	AL
OMB Number:	3235-0287
Estimated average burder	hours
per response	0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Res	sponses)																
Name and Address of Reporting Person B. Riley Financial, Inc.				Issuer Name and Ticker or Trading Symbol QUANTUM CORP /DE/ [QMCO]						Relationship of Reporting Person(s) to Issuer (Check all applicable)							
(Last)		First)	(Middle)	Date of Earliest Transaction (Month/Day/Year)							DirectorX10% Owner Officer (give title below)Other (specify below)						
21255 BURB	ANK BOULI	EVARD, SUITE	400	04/06/202	0												
	3)	Street)		4. If Amendment, Date Original FiledMonth/Day/Year)							6. Individual or J			able Line)			
												Form filed by One _X_ Form filed by Mor					
WOODLAND HILLS, CA 91367 (City) (State) (Zip)																	
(City)	(-	state)	(ZIP)			Tal	ole I - N	lon-	Derivative	Securiti	ies Acqu	uired, Disposed of, or Beneficially Owned					
1.Title of Security 2. Transaction							nsactio					5. Amount of Se	6.	7. Nature			
(Instr. 3)			Date (Month/Day/Year	Execution	Date, i	f Code (Instr.	0)		or Dispose	' '		Owned Following Reported Transaction(s)				of Indirect Beneficial	
			(MOHITI/Day/ Feat	(Month/Da	v/Year		0)		(Instr. 3, 4 and 5)			(Instr. 3 and 4)			Direct (D)	Ownership	
				(,										or Indirect	(Instr. 4)	
										(A) or					(I)		
						Co	de	٧	Amount	(D)	Price				(Instr. 4)	_	
											\$					See	
Common Stoo	ck		04/06/2020			F			100,000	A į	2.7038	8,130,501			I	notes (1)	
																<u>(2) (3)</u>	
											φ					See	
Common Stoo	ck		04/07/2020			F	•		40,184	Α .	ቅ 2 በ420	8,170,685			I	notes (1)	
										l '	2.3423					<u>(2) (3)</u>	
																See	
Common Stoo	ck		04/07/2020			l F	,		40,179	A	\$ · · -	8,210,864			ı	notes (1)	
									,		2.9445	,_,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,				(2) (4)	
																See	
Cammon Ctor	al.		04/00/0000			l F	,		0.100	, !	\$	0.017.000				notes (1)	
Common Stoo	JK.		04/08/2020						6,139	A ;	3.2293	8,217,003				(2) (3)	
											\$					See	
Common Stoo	ck		04/08/2020			F	•		6,136	A	3.2293	8,223,139			I	notes (1)	
																<u>(2) (4)</u>	
Domindor: Donor	t on a concret	e line for each class	a of accurities box	oficially own	od dir	oth or i	ndirootl	lv.									
neminder, nepor	t on a separati	sille for each class	s or securities ber	lelicially Owl	ieu uire	ectly of it		•	one who re	enond i	to the co	llection of infor	nation con	tained in this	SEC	1474 (9-02)	
										•		ollection of information contained in this SEC 1474 (9-02) and unless the form displays a currently valid					
								ОМВ	control nu	ımber.	·			·			
			Table I	l Bankardia	. 0			. n		D	-4:-:-!!	O					
			i abie ii	I - Derivative (e.a., puts					isposea oi s, converti			Ownea					
1. Title of 2. 3. Transaction 3A. Deemed 4. Transaction						_	Date Exer			le and Amount of 8. Price of 9. Number of			10.	11. Nature			
Derivative	Derivative Conversion Date Execution Date		Execution Date,	if Code		Derivative						ying Securities			Ownership		
, , , , , , , , , , , , , , , , , , , ,		(Instr. 8)		ecurities		(Month/Day/Year) (Inst			(Instr.	str. 3 and 4) Security Securities			Form of	Beneficial			
(Instr. 3) Price of Derivative (Month/Day/Year		r)		cquired isposed						(Instr. 5) Beneficially Owned			Derivative Security:	Ownership (Instr. 4)			
	Security					nstr. 3,		5)						Following	Direct (D)	(11301. 4)	
	,					Í		Ť	ate	Evnirotio	n A	mount or		Reported	or Indirect		
				Code	\ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \	(4)	(D)		ate xercisable	Expiratio Date	LITIE	mount or Iumber of Shares		Transaction(s)	. ,		
				Code	V	(A)	(D)							(Instr. 4)	(Instr. 4)		

Reporting Owners

5 " 6 W (A)	Relationships							
Reporting Owner Name / Address	Director	10% Owner	Officer	Other				
B. Riley Financial, Inc. 21255 BURBANK BOULEVARD, SUITE 400 WOODLAND HILLS, CA 91367		Х						
BRC Partners Opportunity Fund, LP 11100 SANTA MONICA BLVD., SUITE 800 LOS ANGELES, CA 90025		Х						
BRC Partners Management GP, LLC 11100 SANTA MONICA BLVD., SUITE 800 LOS ANGELES, CA 90025		Х						
B. RILEY CAPITAL MANAGEMENT, LLC 11100 SANTA MONICA BLVD., SUITE 800 LOS ANGELES, CA 90025		Х						
B. RILEY FBR, INC. 11100 SANTA MONICA BLVD., SUITE 800 LOS ANGELES, CA 90025		х						

Signatures

B. Riley Financial, Inc., by: /s/ Bryant R. Riley, Co-Chief Executive Officer					
—Signature of Reporting Person					
BRC Partners Opportunity Fund, L.P., by: /s/ Bryant R. Riley, Chief Investment Officer					
—Signature of Reporting Person					
BRC Partners Management GP, LLC, by B. Riley Capital Management, LLC, its sole member, by: /s/ Bryant R. Riley, Chief Executive Officer					
Signature of Reporting Person					
B. Riley Capital Management, LLC, by: /s/ Bryant R. Riley, Chief Executive Officer		04/08/2020			
-Signature of Reporting Person		Date			
B. Riley FBR, Inc., by: /s/ Andy Moore, Chief Executive Officer		04/08/2020			
-Signature of Reporting Person		Date			

Explanation of Responses:

- * 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).
- In addition to B. Riley Financial, Inc., a Delaware corporation ("BRF"), this Form 4 is being filed jointly by BRC Partners Opportunity Fund, L.P., a Delaware limited partnership ("BRPLP"), B. Riley (1) Capital Management, LLC, a New York limited liability company ("BRCM"), BRC Partners Management GP, LLC, a Delaware limited liability company ("BRPGP"), and B. Riley FBR, Inc., a Delaware corporation ("BRFBR" and collectively, the "Filing Persons").
- BRPGP is a subsidiary of BRCM, a registered investment advisor, and is the general partner of BRPLP. BRF is the parent company of BRCM. As a result, BRPGP, BRCM and BRF may be deemed
- (2) to indirectly beneficially own the securities held by BRPLP. BRF is the parent company of BRFBR. As a result, BRF may be deemed to indirectly beneficially own the securities held by BRPLP. BRF is the parent company of BRFBR. As a result, BRF may be deemed to indirectly beneficially own the securities held by BRPLP. BRF is the parent company of BRFBR. As a result, BRF may be deemed to indirectly beneficially own the securities held by BRPLP. BRF is the parent company of BRFBR. As a result, BRF may be deemed to indirectly beneficially own the securities held by BRFBR. Each of the Filing Persons disclaims beneficial ownership of the outstanding shares of Common Stock ("Common Stock") of Quantum Corporation, a Delaware corporation (the "Issuer"), reported herein except to the extent of its pecuniary interest therein.
- (3) Represents shares of Common Stock owned directly by BRPLP.
- (4) Represents shares of Common Stock owned directly by BRFBR.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Re	sponses)													
1. Name and Add	•	ting Person <u></u>		2. Issuer Name an	_			5. Relationship of Reporting Person(s) to Issuer						
B. Riley Finar				QUANTUM COF		•			(Check all applicable) DirectorX10% Owner					
21255 BURB		(First) EVARD, SUITE	100	 Date of Earliest Tr 04/06/2020 	onth/	Day/Year)		Officer (give titl	e below)	Other	(specify below)			
(Street)				4. If Amendment, Da	ledMo	onth/Day/Year)			6. Individual or J Form filed by One _X_ Form filed by More	e Reporting Pers	son	able Line)		
WOODLAND (City)		91367 (State)	(Zip)					To this lifed by word than One nepotting Person						
		State)			_					ired, Disposed o	-	•		
1.Title of Security (Instr. 3)			Transaction Date (Month/Day/Year	2A. Deemed Execution Date, if r) any (Month/Day/Year)	(Instr. 8)		4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)			Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)			6. Ownership Form: Direct (D)	7. Nature of Indirect Beneficial Ownership
				(World / Day / Tou.)	Code	V	Amount	(A) or (D)	Price				or Indirect (I) (Instr. 4)	(Instr. 4)
Common Sto	ck		04/06/2020		Р		100,000	А	\$ 2.7038	8,130,501			I	See notes (1) (2) (3)
Common Sto	ck		04/07/2020		Р		40,184	А	\$ 2.9429	8,170,685			I	See notes (1) (2) (3)
Common Sto	ck		04/07/2020		Р		40,179	А	\$ 2.9445	8,210,864			I	See notes (1) (2) (4)
Common Sto	ck		04/08/2020		Р		6,139	А	\$ 3.2293	8,217,003			I	See notes (1) (2) (3)
Common Sto	ck		04/08/2020		Р		6,136	Α	\$ 3.2293	8,223,139			I	See notes (1) (2) (4)
Reminder: Repor	rt on a separati	e line for each clas	s of securities be	neficially owned direc	ectly or indirect	tlv								
	t on a coparati	o mio ioi odon oldo	0 0. 0000111100 001	ionidally office direct	1	Perso form		quired t		llection of inform d unless the for				1474 (9-02)
			Table I	I - Derivative Secur (e.g., puts, calls,	rities Acquire	ed, Di	isposed of,	, or Ber		Owned				
1. Title of Derivative Security (Instr. 3)	or Exercise (Month/Day/Year) any		Execution Date,	r) (Instr. 8) Se Ac Di	Number of erivative ecurities cquired (A) or isposed of (D) nstr. 3, 4, and	ar (N	nd Expiration Date Underly			e and Amount of rlying Securities 3 and 4) 8. Price of 9. Number of Derivative Security (Instr. 5) 9. Number of Derivative Securities Beneficially Owned Following			Form of	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code V	(A) (D)	I -	ate Exercisable	Expiration Date	LITIE	mount or umber of Shares		Reported Transaction(s) (Instr 4)		

Reporting Owners

5 " 6 W (A)	Relationships							
Reporting Owner Name / Address	Director	10% Owner	Officer	Other				
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		04/08/2020			
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—Signature of Reporting Person					
BRC Partners Opportunity Fund, L.P., by: /s/ Bryant R. Riley, Chief Investment Officer					
-Signature of Reporting Person					
BRC Partners Management GP, LLC, by B. Riley Capital Management, LLC, its sole member, by: /s/ Bryant R. Riley, Chief Executive Officer					
-Signature of Reporting Person					
B. Riley Capital Management, LLC, by: /s/ Bryant R. Riley, Chief Executive Officer					
-Signature of Reporting Person					
B. Riley FBR, Inc., by: /s/ Andy Moore, Chief Executive Officer					
—Signature of Reporting Person		Date			

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