**IRIDEX CORP** Form 4 June 18, 2013

# FORM 4

if no longer

Section 16.

Form 4 or

obligations

may continue.

Form 5

subject to

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

Check this box

### STATEMENT OF CHANGES IN 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

See Instruction 1(b).

(Last)

(Print or Type Responses)

1. Name and Address of Reporting Person \* **ARIAS EDUARDO** 

(First)

(Street)

(Ctata)

1212 TERRA BELLA AVENUE

(Middle)

2. Issuer Name and Ticker or Trading

Symbol

IRIDEX CORP [IRIX]

3. Date of Earliest Transaction

(Month/Day/Year)

06/14/2013

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to

OMB

Number:

Expires:

response...

Estimated average

burden hours per

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

Issuer

(Check all applicable)

Director 10% Owner X\_ Officer (give title ) \_ Other (specify below)

Sr. VP, Global Sales

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

#### **MOUNTAIN VIEW, CA 94043**

(City)	(State)	(Zip) Tabl	le I - Non-I	Derivative	Secu	rities Acqu	ired, Disposed of	, or Beneficiall	y Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transactic Code (Instr. 8)	4. Securi or(A) or D (Instr. 3,	ispose 4 and (A) or	d of (D)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock	06/14/2013		M	3,215	A	\$ 4.74	12,500	D	
Common Stock	06/14/2013		S(1)	3,215	D	\$ 5.3732	9,285	D	
Common Stock	06/14/2013		M	1,057	A	\$ 5.08	9,400	D	
Common Stock	06/14/2013		S(1)	1,057	D	\$ 5.4001	8,343	D	
Common Stock	06/17/2013		M	90	A	\$ 4.74	9,285	D	

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Common Stock	06/17/2013	S(1)	90	D	\$ 5.5	9,195	D
Common Stock	06/17/2013	M	85	A	\$ 5.08	8,343	D
Common Stock	06/17/2013	S <u>(1)</u>	85	D	\$ 5.5	8,258	D
Common Stock	06/17/2013	M	85	A	\$ 3.53	5,400	D
Common Stock	06/17/2013	S(1)	85	D	\$ 5.5	5,315	D

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

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.

SEC 1474 (9-02)

 $\label{thm:convergence} \begin{tabular}{ll} Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned \\ (e.g., puts, calls, warrants, options, convertible securities) \end{tabular}$ 

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. Transactic Code (Instr. 8)	Secur Acqu (A) o Dispo (D)	rities nired or osed of r. 3, 4,	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option Right to Buy (2)	\$ 4.74	06/14/2013		M		3,215	10/23/2003(3)	09/23/2013	Common Stock	3,215
Stock Option Right to Buy (2)	\$ 5.08	06/14/2013		M		1,057	04/30/2005(3)	03/31/2015	Common Stock	1,057
Stock Option Right to Buy (2)	\$ 4.74	06/17/2013		M		90	10/23/2003	09/23/2013	Common Stock	90
Stock Option	\$ 5.08	06/17/2013		M		85	04/30/2005	03/31/2015	Common Stock	85

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Right to Buy (2)

Stock

Option Right to

\$ 3.53 06/17/2013 M

85 03/13/2008(3) 02/13/2015

Common

Stock

85

Buy (2)

# **Reporting Owners**

Relationships Reporting Owner Name / Address

> Director 10% Owner Officer Other

ARIAS EDUARDO

1212 TERRA BELLA AVENUE

Sr. VP, Global Sales

**MOUNTAIN VIEW, CA 94043** 

**Signatures** 

/s/ Susan Bruce, Attorney-in-Fact for Eduardo Arias

06/18/2013

Date

# \*\*Signature of Reporting Person **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).
- (1) The sale reported in this Form 4 was pursuant to the Reporting Person's Rule 10b5-1 Selling Plan that was effective March 7, 2013.
- (2) This option was granted pursuant to IRIDEX Corporation's incentive 1998 Stock Plan and is exempt pursuant to Rule 16b-3.
- (3) The shares are subject to vesting according to the following schedule: 1/48th of the total number of shares vest each month.

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.

Reporting Owners 3