**IRIDEX CORP** Form 4/A August 18, 2015

## FORM 4

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

Check this box if no longer subject to Section 16. Form 4 or

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

Form 5 obligations may continue. See Instruction 1(b).

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)

(Last)

1. Name and Address of Reporting Person \* Mackaness James H

(First)

(Street)

1212 TERRA BELLA AVENUE

(Middle)

2. Issuer Name and Ticker or Trading Symbol

IRIDEX CORP [IRIX]

3. Date of Earliest Transaction

(Month/Day/Year) 08/13/2015

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

08/17/2015

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

OMB

Number:

Expires:

response...

**OMB APPROVAL** 

Estimated average

burden hours per

3235-0287

January 31,

2005

0.5

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

CFO and COO

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) (Z	Zip) Table	e I - Non-D	erivative s	Securi	ities Acq	quired, Disposed o	of, or Beneficial	ly Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired action(A) or Disposed of (D) 8) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code V	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)		
Common Stock	08/13/2015		M	4,004	A	\$ 4.31	47,000	D	
Common Stock	08/13/2015		S(1)	5,000	D	\$ 6.95	42,996	D	
Common Stock	08/14/2015		M	2,200	A	\$ 4.31	45,761	D	
Common Stock	08/14/2015		S(1)	2,765	D	\$ 7.05	43,561	D	

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

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SEC 1474 (9-02)

> 8. I De Sec (In

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. 5. Number Transaction Derivative Code Securities (Instr. 8) Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		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)	\$ 4.31	08/13/2015		M	5,000	(3)	04/29/2017	Common Stock	5,000
Stock Option Right to Buy (2)	\$ 4.31	08/14/2015		M	2,765	(3)	04/29/2017	Common stock	2,765

# **Reporting Owners**

**MOUNTAIN VIEW, CA 94043** 

Reporting Owner Name / Address	Relationships

Director 10% Owner Officer Other

Mackaness James H

1212 TERRA BELLA AVENUE CFO and COO

**Signatures** 

/s/ Susan Bruce, Attorney-in-Fact for James H.

Mackaness

08/18/2015

\*\*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).
- (1) The sale reported in this Form 4 is a sell to cover transaction.
- (2) This option was granted pursuant to IRIDEX Corporation's 2008 Equity Incentive Plan and is exempt to Rule 16b-3.

Reporting Owners 2

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(3) Shares subject to the option are fully vested and exercisable.

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.