

Ramelot Michael Rush  
Form 4  
June 22, 2018

**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  
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,  
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section  
30(h) of the Investment Company Act of 1940

## OMB APPROVAL

OMB  
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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Ramelot Michael Rush

(Last) (First) (Middle)

1702 WHITHAM AVENUE

(Street)

LOS ALTOS, CA 94024

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol

ENERGY FOCUS, INC/DE [EFOI]

3. Date of Earliest Transaction  
(Month/Day/Year)

06/20/2018

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner  
☐ Officer (give title below) ☐ Other (specify below)

6. Individual or Joint/Group Filing(Check  
Applicable Line)

☒ Form filed by One Reporting Person  
☐ Form filed by More than One Reporting  
Person

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

| 1. Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code (Instr. 8) | 4. Securities Acquired<br>(A) or Disposed of<br>(D) (Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|-----------------------------------|-------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-----------------------------------------|
| Common<br>Stock                       | 06/20/2018                              |                                                             | M                                 | 18,443 A                                                                | 32,927                                                                                                             | 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  
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SEC 1474  
(9-02)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

## Edgar Filing: Ramelot Michael Rush - Form 4

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5. Number of<br>Derivative<br>Securities Acquired<br>(A) or Disposed of<br>(D)<br>(Instr. 3, 4, and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and<br>Underlying Se<br>(Instr. 3 and 4) |
|-----------------------------------------------------|-----------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|-----------------------------------------|--------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|---------------------------------------------------|
|                                                     |                                                                       |                                         |                                                             | Code V                                  | (A) (D)                                                                                                | Date Exercisable Expiration<br>Date                            | Title                                             |
| Restricted<br>Stock<br>Units                        | <u>(2)</u>                                                            | 06/20/2018                              |                                                             | M                                       | 18,443                                                                                                 | 06/20/2018 06/20/2018                                          | Common<br>Stock                                   |
| Restricted<br>Stock<br>Units                        | <u>(2)</u>                                                            | 06/20/2018                              |                                                             | A                                       | 15,000                                                                                                 | <u>(3)</u> <u>(3)</u>                                          | Common<br>Stock                                   |
| Stock<br>Option                                     | \$ 10.36                                                              |                                         |                                                             |                                         |                                                                                                        | 08/23/2015 <sup>(4)</sup> 07/23/2025                           | Common<br>Stock                                   |
| Stock<br>Option                                     | \$ 5.5                                                                |                                         |                                                             |                                         |                                                                                                        | 07/16/2015 <sup>(4)</sup> 07/16/2024                           | Common<br>Stock                                   |
| Stock<br>Option                                     | \$ 4.8                                                                |                                         |                                                             |                                         |                                                                                                        | 12/18/2014 <sup>(4)</sup> 12/18/2023                           | Common<br>Stock                                   |

## Reporting Owners

| Reporting Owner Name / Address                                     | Relationships |           |         |       |
|--------------------------------------------------------------------|---------------|-----------|---------|-------|
|                                                                    | Director      | 10% Owner | Officer | Other |
| Ramelot Michael Rush<br>1702 WHITHAM AVENUE<br>LOS ALTOS, CA 94024 | X             |           |         |       |

## Signatures

/s/ Anna M. Di Fiore as  
Attorney-in-Fact 06/22/2018

                     \*\*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) Restricted stock units convert into Common Stock on a one-for-one basis.

(2) Each Restricted Stock Unit represents a contingent right to receive one share of Energy Focus, Inc. Common Stock.

(3) The Restricted Stock Units fully vest on the earlier of (i) the one year anniversary of the grant date or (ii) the date of the Company's annual meeting of stockholders next following the grant date.

(4) Date applies to 1/12th of the total, as options vest monthly over a twelve month period.

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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