SEC Form 4

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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

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

OMB APPROVAL

Estimated average burden		
hours per response:		0.5

1. Nume and Address of Reporting reison			2. Issuer Name and Ticker or Trading Symbol IRIDEX CORP [IRIX]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
INAUMAININ-ETILININE KOEDIGEK		LDIGLIC		Х	Director	10% Owner		
(Last) 1212 TERRA BI	(First) ELLA AVENUE	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 07/01/2014		Officer (give title below)	Other (specify below)		
(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line)	idual or Joint/Group Filing (Check Applicable		
MOUNTAIN	СА	94043		X	Form filed by One Report	ing Person		
VIEW					Form filed by More than C Person	One Reporting		
(City)	(State)	(Zip)						

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

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1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)			4. Securities / Disposed Of (5)			5. Amount of Securities Beneficially Owned Following Reported	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	Transaction(s) (Instr. 3 and 4)		(1150.4)	
Common Stock	07/01/2014		A		2,445 ⁽¹⁾	Α	\$ <mark>0</mark>	62,344	D		
Common Stock								10,345	Ι	See Footnote ⁽²⁾	

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

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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. Transa Code (8)		of Deriv Secu Acqu (A) or Dispo of (D) (Instr	of Expiration		6. Date Exercisable and Expiration Date (Month/Day/Year)		and ht of ties ying tive ty (Instr. 3	8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

Explanation of Responses:

1. Shares are represented by restricted stock units and will vest one hundred percent (100%) on July 1, 2015.

2. The Reporting Person is a general partner of Intertec Healthcare Partners LP ("Intertec") and may be deemed to share voting and dispositive power of the shares held by Intertec. The Reporting Person

disclaims beneficial ownership of the shares held by Intertec, except to the extent of his proportionate partnership interest therein.

<u>/s/ Susan Bruce, Attorney-in-</u>

<u>Fact for Ruediger Naumann-</u> Etienne 07/02/2014

** Signature of Reporting Person Date

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

* 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).

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

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 Number.