## SEC Form 4

 $\square$ 

## 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 OMB Number: 3235-0287 Estimated average hurden

	Estimated average burde	en
	hours per response:	0.5
2		

1. Name and Addre Shuda Scott	ess of Reporting Perso	n*	2. Issuer Name and Ticker or Trading Symbol IRIDEX CORP [ IRIX ]		tionship of Reporting Perso all applicable) Director	n(s) to Issuer 10% Owner	
		(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 04/23/2019		Officer (give title below)	Other (specify below)	
(Street) MOUNTAIN VIEW	AIN CA 94043		4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line) X			
(City)	(State)	(Zip)					

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

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	Code (Instr.		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported	Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)

 
 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. Transa Code ( 8)		of		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		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				
Common Stock (right to buy) <sup>(1)</sup>	\$4.85	04/23/2019		A		15,000		(2)	04/23/2026	Common Stock	15,000	\$0.00	15,000	D	

Explanation of Responses:

1. This option granted pursuant to IRIDEX Corporation's 2008 Amended and Restated Equity Incentive Plan and is exempt pursuant to Rule16b-3.

2. The shares are subject to vesting according to the following schedule: 1/48th of the total number of shares vest on May 23, 2019 and each month thereafter.

#### Remarks:

### /s/ Nilo De Castro, Attorney-in-Fact for Scott Shuda 05/02/2019

\*\* 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.