FORM 4

## **UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

| Washington, | D.C. | 20549 |
|-------------|------|-------|
|-------------|------|-------|

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

| STATEMENT OF CHANGES IN BENEF | ICIAL OWNERSHIP |
|-------------------------------|-----------------|
|                               |                 |

| OMB APF            | PROVAL    |
|--------------------|-----------|
| OMB Number:        | 3235-0287 |
| Estimated average  | burden    |
| hours per response | e: 0.5    |

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

| Name and Address of Reporting Person*     Mercer Patrick   |  |  |                   | 2. Issuer Name and Ticker or Trading Symbol IRIDEX CORP [ IRIX ]                        |         |   |              |      |  |                        | (Che                   | ck all app<br>Direc   | licable)                            | ng Pe        | rson(s) to Is<br>10% Ov<br>Other (s                               | vner  |        |  |  |
|--|--|--|-------------------|---|---------|---|--------------|------|--|------------------------|------------------------|---|-------------------------------------|--------------|---|---|--------|--|--|
| (Last)<br>1212 TE  | Last) (First) (Middle) 1212 TERRA BELLA AVENUE   |  |                   |   |         | 3. Date of Earliest Transaction (Month/Day/Year) 06/30/2021 |              |      |  |                        |                        |   | X                                   | below        |   |   | below) | ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,                                  |  |
| (Street) MOUNT VIEW  | C.   |  | 4043              |   | 4. If A | . If Amendment, Date of Original Filed (Month/Day/Year)     |              |      |  |                        | Line)                  | Individual or Joint/Group Filing (Check Applicable ne)  X Form filed by One Reporting Person Form filed by More than One Reporting Person |                                     |              |   | on  |        |  |  |
| (City) (State) (Zip)  Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned |  |  |                   |   |         |   |              |      |  |                        |                        |   |                                     |              |   |   |        |  |  |
|  |  | Table                                      | I - NO            | n-Deriva  | tive    | Secu  | rities       | Acq  | uirea,   | DIS                    | posed of               | , or E  | 3enei                               | iciai        | ly Own  | ea  |        |  |  |
| 1. Title of Security (Instr. 3) 2. Transac Date (Month/Da  |  |  |                   | Execution [   |         | Date,   | Code (Instr. |      | 4. Securities Acquired (A<br>Disposed Of (D) (Instr. 3,<br>5)  |                        |                        | Securit<br>Benefic  | rities<br>eficially<br>ed Following |              | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4)                               |        |  |  |
|  |  |  |                   |   |         |   |              | Code | v  | Amount                 | (A) or<br>(D)          |   | rice                                | Transa       | Transaction(s)<br>(Instr. 3 and 4)                                |   |        | (30. 4)  |  |
| Common Stock 06/3  |  |  | 06/30/            | 2021  |         |   | F            |      | 1,801(1)   | 1,801 <sup>(1)</sup> D |                        | <b>57.06</b>  | 32,111                              |              |   | D   |        |  |  |
| Common   | Stock  |  |                   | 07/01/3   | 2021    |   |              | F    |  | 1,459(1)               | 59 <sup>(1)</sup> D \$ |   | 57.08                               | 30,652       |   |   | D      |  |  |
|  | Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) |  |                   |   |         |   |              |      |  |                        |                        |   |                                     |              |   |   |        |  |  |
| 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<br>Date<br>(Month/Day/Year) | Executi<br>if any | AA. Deemed<br>Execution Date,<br>f any<br>Month/Day/Year)  4. Transactio<br>Code (Instr |         |   | n of         |      | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                        |                        | 7. Title and<br>Amount of<br>Securities<br>Underlying<br>Derivative<br>Security (Ins<br>3 and 4)  |                                     | D<br>S<br>(I | Price of<br>erivative<br>ecurity<br>istr. 5)                      | 9. Number of derivative Securities Beneficially Owned Following Reported Transaction (Instr. 4) | у      | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|  |  |  |                   |   | Code    | v   | (A)          | (D)  | Date<br>Exercis  | able                   | Expiration<br>Date     | Title   | Amou<br>or<br>Numb<br>of<br>Share   | er           |   |   |        |  |  |

## **Explanation of Responses:**

1. These shares have been withheld in an exempt disposition to the Issuer under Rule 16b-3(e), to satisfy the Issuer's income tax withholding and remittance obligations in connection with the net settlement of restricted stock units and does not represent a sale by the Reporting Person.

## Remarks:

/s/ Nilo De Castro, Attorneyin-Fact for Patrick Mercer

07/02/2021

\*\* 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.