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

OMB Number: 3235-0287 Estimated average burden hours per response: 0.5

1. Name and Addre	ss of Reporting Person ARDO	1*	2. Issuer Name and Ticker or Trading Symbol <u>IRIDEX CORP</u> [IRIX]	(Check	tionship of Reporting Perso all applicable) Director Officer (give title	n(s) to Issuer 10% Owner Other (specify	
(Last) (First) (Middle) 1212 TERRA BELLA AVENUE		(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 06/18/2013	Х	below) Sr. VP, Global	below)	
(Street) MOUNTAIN VIEW	СА	94043	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line) X	idual or Joint/Group Filing Form filed by One Repor Form filed by More than Person	ting Person	
(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)	3. Transaction Code (Instr. 8)					5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	06/18/2013		М		9,195	A	\$4.74	9,195	D	
Common Stock	06/18/2013		S ⁽¹⁾		9,195	D	\$5.4025	0	D	
Common Stock	06/18/2013		М		8,258	A	\$5.08	8,258	D	
Common Stock	06/18/2013		S ⁽¹⁾		8,258	D	\$5.4028	0	D	
Common Stock	06/18/2013		М		3,089	A	\$3.53	5,315	D	
Common Stock	06/18/2013		S ⁽¹⁾		3,089	D	\$5.5	2,226	D	
Common Stock	06/19/2013		М		2,226	A	\$3.53	2,226	D	
Common Stock	06/19/2013		S ⁽¹⁾		2,226	D	\$5.5	0	D	

 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				
Stock Option Right to Buy ⁽²⁾	\$4.74	06/18/2013		М			9,195	10/23/2003 ⁽³⁾	10/23/2013	Common Stock	9,195	\$0	0	D	
Stock Option Right to Buy ⁽²⁾	\$5.08	06/18/2013		М			8,258	04/30/2005 ⁽³⁾	03/31/2015	Common Stock	8,258	\$0	0	D	
Stock Option Right to Buy ⁽²⁾	\$3.53	06/18/2013		М			3,089	03/13/2008 ⁽³⁾	02/13/2015	Common Stock	3,089	\$0	2,226	D	
Stock Option Right to Buy ⁽²⁾	\$5.5	06/19/2013		М			2,226	03/13/2008 ⁽³⁾	02/13/2015	Common Stock	2,226	\$0	0	D	

Explanation of Responses:

1. The sale reported in this Form 4 was pursuant to the Reporting Person's Rule 10b5-1 Selling Plan that was effective March 7, 2013.

2. This option was granted pursuant to IRIDEX Corporation's incentive 1998 Stock Plan and is exempt pursuant to Rule 16b-3.

3. The shares are subject to vesting according to the following schedule: 1/48th of the total number of shares vest each month.

** 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.