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-									
Estimated average burden									
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1. Name and Addre	ess of Reporting Person ARDO	n*	2. Issuer Name and Ticker or Trading Symbol <u>IRIDEX CORP</u> [IRIX]		ionship of Reporting Person all applicable) Director	10% Owner		
(Last) 1212 TERRA E	(First) ELLA AVENUE	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 06/10/2013	Х	Officer (give title below) Sr. VP, Global S	Other (specify below) ales		
(Street) MOUNTAIN VIEW	UNTAIN CA 94043		4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indivi Line) X	 Individual or Joint/Group Filing (Check Applical Line) X Form filed by One Reporting Person Form filed by More than One Reporting 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.4. Securities Acqui Disposed Of (D) (In 8)				5. Amount of Securities Beneficially Owned Following Reported	6. Ownership 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)
Common Stock	06/10/2013		М		2,100	A	\$4.74	15,000	D	
Common Stock	06/10/2013		S ⁽¹⁾		2,100	D	\$5.3362	12,900	D	
Common Stock	06/10/2013		М		200	A	\$5.08	10,000	D	
Common Stock	06/10/2013		S ⁽¹⁾		200	D	\$5.6301	9,800	D	
Common Stock	06/10/2013		М		100	A	\$3.53	6,000	D	
Common Stock	06/10/2013		S ⁽¹⁾		100	D	\$5.8601	5,900	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)				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	06/10/2013		М			2,100	10/23/2003 ⁽³⁾	09/23/2013	Common Stock	2,100	\$0	2,100	D	
Stock Option Right to Buy ⁽²⁾	\$5.08	06/10/2013		М			200	04/30/2005 ⁽³⁾	03/31/2015	Common Stock	200	\$0	9,800	D	
Stock Option Right to Buy ⁽¹⁾⁽²⁾	\$3.53	06/10/2013		М			100	03/13/2008 ⁽³⁾	02/13/2015	Common Stock	100	\$0	5,900	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.

Remarks:

/s/ Susan Bruce, Attorney-in-Fact for Eduardo Arias

06/12/2013

** Signature of Reporting Person

Date

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

 \ast 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.