SEC Form 3 FORM 3

UNITED STATES SECURITIES AND EXCHANGE

COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL

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

| 1. Name and Ad <u>Topcon A</u> | 2. Date of Event Requiring Statement (Month/Day/Year) 03/10/2021 | | | 3. Issuer Name and Ticker or Trading Symbol IRIDEX CORP [IRIX] | | | | | | | | |
|--|---|----------------|--|--|-------------|--|-------------------------------|---|---|---|--------------------------|--|
| (Last) 111 BAUER | (Last) (First) (Middle) | | 00/10/2021 | | | 4. Relationship of Reporting Issuer (Check all applicable) Director | g F X | | | 5. If Amendment, Date of Original Filed (Month/Day/Year) | | |
| (Street) | , | | | Officer (give title below) | Λ | Other (specify below) | | 6. Individual or Joint/Group Filing (Check Applicable Line) Form filed by One Reporting Person | | | | |
| OAKLAND (City) | (State) | 07436 (Zip) | - | | | | | | | X Form filed by More than One Reporting Person | | |
| Table I - Non-Derivative Securities Beneficially Owned | | | | | | | | | | | | |
| 1. Title of Security (Instr. 4) | | | | | | 2. Amount of Securities Beneficially Owned (Instr. I) | | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) | | 4. Nature of Indirect Beneficial Ownership (Instr. 5) | | |
| Common Stock | | | | | | 1,618,122(1) | | D | | | | |
| Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) | | | | | | | | | | | | |
| 1. Title of Derivative Security (Instr. 4) | | | 2. Date Exercisable and Expiration Date (Month/Day/Year) | | | 3. Title and Amount of Sec Underlying Derivative Secu (Instr. 4) | | curity Conver or Exer | | rsion rcise | 5. Ownership Form: | 6. Nature of Indirect Beneficial Ownership (Instr. |
| | Date Exercisable | | | Title | 0 N 0 | lumber f | Price o Derivat Securit | ive | Direct (D) or Indirect (I) (Instr. 5) | 5) | | |
| 1. Name and Address of Reporting Person* <u>Topcon America Corp</u> | | | | | | The | <u> </u> | hares | | | | |
| (Last) (First) (Mic 111 BAUER DRIVE | | | ddle) | | | | | | | | | |
| (Street) OAKLAND NJ 074 | | | 136 | | | | | | | | | |
| (City) | (State) | (Zip |) | | | | | | | | | |
| 1. Name and Address of Reporting Person [*] Topcon Corp | | | | | | | | | | | | |
| (Last) (First) (Middle) 75-1 HASUNUMA-CHO, ITABASHI-KU, | | | | | | | | | | | | |
| (Street) TOKYO | | | 4-8580 | | | | | | | | | |
| (City) (State) (Zip) | | |) | | | | | | | | | |

Explanation of Responses:

1. These shares of Common Stock are held directly by Topcon America Corporation. Topcon Corporation is the sole shareholder of Topcon America Corporation. Each of Topcon America Corporation and Topcon Corporation may be deemed to be the beneficial owner of the shares of Common Stock beneficially owned by Topcon America Corporation.

Remarks:

David A. Mudrick,04/01/2021President, on behalf ofTopcon AmericaCorporationYoshikuni Ito, ExecutiveOfficer, Vice GeneralManager, Corporate04/01/2021Planning Div., on behalf ofTopcon Corporation#t Signature of Departing

** Signature of Reporting Date Person

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 5 (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.