SEC Form 4

FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5

obligations may continue. See Instruction 1(b).

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL 3235-0287 OMB Number: Estimated average burden

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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP	Ρ
Filed surguest to Section 16(a) of the Securities Evaluated Act of 1024	

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 Address of Reporting Person [*] Bruce David			2. Issuer Name and Ticker or Trading Symbol <u>IRIDEX CORP</u> [IRIX]		5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director 10% Owner				
(Last) 1212 TERRA E	(First) (Middle) BELLA AVENUE		3. Date of Earliest Transaction (Month/Day/Year) 05/21/2019	_ x	Officer (give title below) President an	Other (specify below) d CEO			
(Street) MOUNTAIN VIEW	CA 94043		4. If Amendment, Date of Original Filed (Month/Day/Year) 05/23/2019	6. Indiv Line) X	,				
(City)	(State)	(Zip)	Derivative Securities Acquired, Disposed of, or Bend	aficially (Person				

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

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	Execution Date, T			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 (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150.4)

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)		5. Number Derivative Securities Acquired (A Disposed o (D) (Instr. 3 and 5)	A) or	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	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		Transaction(s) (Instr. 4)		
Stock Option (right to buy) ⁽¹⁾	\$4.92	05/21/2019		A		200,000 ⁽²⁾		(3)	05/21/2026	Common Stock	200,000	\$0.00	200,000	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 original Form 4 reported an incorrect number of option shares granted.

3. Shares subject to the option vest over a period of 48 months with 1/4th of the total number of shares vesting on the first anniversary of the grant date and 1/48th of the total number of shares vesting each month thereafter.

Remarks:

/s/ Nilo De Castro, Attorney-in-Fact for David Bruce

06/13/2019

** 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.