Edgar Filing: ELLIE MAE INC - Form 4

ELLE MAE DIC

Form 4	E INC									
June 19, 20	14									
FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION						MAISSION	OMB APPROVAL			
	UNITED		Washington			INGE CU	JMIMISSION	OMB Number:	3235-0287	
Check the check	nger							Expires:	January 31, 2005	
subject Section Form 4	to SIAIEN 16.	STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES							verage rs per 0.5	
Form 4 or Form 5 obligations may continue. See Instruction 1(b). Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940										
(Print or Type	Responses)									
1. Name and Address of Reporting Person <u></u> Lee Elisa							5. Relationship of Reporting Person(s) to Issuer			
(Least)					(Check	eck all applicable)				
	(First) () E MAE, INC., 415 D ROAD, SUITE	(Mor 5 06/1	th/Day/Year) 7/2014	ransaction		i	Director _X Officer (give to below) Exec VP, Ge		Owner r (specify & Sct	
	(Street) 4. If Amendment, Da Filed(Month/Day/Year			ar) Applic			Applicable Line)	dividual or Joint/Group Filing(Check icable Line) Form filed by One Reporting Person		
PLEASAN	TON, CA 94588						Form filed by Mo Person			
(City)	(State)	(Zip)	Table I - Non-	Derivative	Secu	rities Acqu	ired, Disposed of,	or Beneficial	y Owned	
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)		Code	4. Securit onor Dispos (Instr. 3, 4	ed of (4 and :		5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Code V	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)	(Instr. 4)		
Common Stock	06/17/2014 <u>(1)</u>		М	15,000	А	\$ 6.75	87,600	D		
Common Stock	06/17/2014(1)		S	15,000	D	\$ 29.0831 (2)	72,600	D		

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

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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. Transactic Code (Instr. 8)	5. Number of orDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Incentive Stock Option (right to buy)	\$ 6.75	06/17/2014 <u>(1)</u>		М	15,000	<u>(3)</u>	02/03/2020	Common Stock	15,000

Reporting Owners

Reporting Owner Name / Address	Relationships						
I gen in the second	Director	10% Owner	Officer	Other			
Lee Elisa C/O ELLIE MAE, INC. 4155 HOPYARD ROAD, SUITE 200 PLEASANTON, CA 94588			Exec VP, General Counsel & Sct				

Signatures

/s/ Elisa Lee 06/19/2014

<u>**</u>Signature of Reporting Person Date

Explanation of Responses:

- * 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).
- (1) The exercise and sale of these stock options was completed pursuant to the Rule 10b5-1 trading plan adopted by Elisa Lee.

The price reported is a weighted average price. The shares were sold in multiple transactions ranging from \$29.05 to \$29.25, inclusive.

- (2) The reporting person undertakes to provide to Ellie Mae, Inc., any security holder of Ellie Mae, Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in footnote (2) to this Form 4.
- (3) Option vests with respect to 25% of the shares subject thereto on November 16, 2010, with 1/48th of the shares vesting monthly thereafter, such that the option will be fully vested and exercisable on November 16, 2013.
- (4) The reported transaction is a grant of a derivative security, in which we have left column 8 blank, and have reported the exercise or conversion price of the derivative security in column 2.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.