

ELLIE MAE INC

Form 3

April 07, 2017

FORM 3**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated average
burden hours per
response... 0.5**INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF
SECURITIES**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 *

Â LaVay Matthew

(Last)

(First)

(Middle)

C/O ELLIE MAE, INC.,Â 4420
ROSEWOOD DRIVE, SUITE
500

(Street)

PLEASANTON,Â CAÂ 94588

(City)

(State)

(Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

04/01/2017

3. Issuer Name **and** Ticker or Trading Symbol
ELLIE MAE INC [ELLI]4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☒ Other
(give title below) (specify below)Chief Financial Officer / Chief
Financial Officer

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting
Person☐ 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. 4)3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)4. Nature of Indirect Beneficial
Ownership
(Instr. 5)

Common Stock

14,000

D

Â

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

SEC 1473 (7-02)

**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 control number.****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
Securities Underlying
Derivative Security
(Instr. 4)4. Conversion
or Exercise
Price of
Derivative5. Ownership
Form of
Derivative
Security:6. Nature of Indirect
Beneficial
Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Non-Qualified Stock Option (right to buy)	Â <u>(1)</u>	05/04/2022	Common Stock	8,750	\$ 15.57	D	Â
Non-Qualified Stock Option (right to buy)	Â <u>(2)</u>	05/03/2023	Common Stock	4,164	\$ 24.39	D	Â
Non-Qualified Stock Option (right to buy)	Â <u>(2)</u>	05/06/2024	Common Stock	4,206	\$ 25.3	D	Â
Non-Qualified Stock Option (right to buy)	Â <u>(2)</u>	11/17/2024	Common Stock	2,557	\$ 39.73	D	Â
Non-Qualified Stock Option (right to buy)	Â <u>(2)</u>	05/07/2025	Common Stock	1,285	\$ 61.46	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
LaVay Matthew C/O ELLIE MAE, INC. 4420 ROSEWOOD DRIVE, SUITE 500 PLEASANTON,Â CAÂ 94588	Â	Â	Â Chief Financial Officer	Chief Financial Officer

Signatures

/s/ Matthew
LaVay

04/07/2017

 Signature of
Reporting Person

Date

Explanation of Responses:

* 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).

(1) 100% of the shares subject to the option are fully vested and exercisable.

(2) 25% of the stock option shares vest on one year anniversary of grant date, 1/48th of the total shares vest monthly thereafter.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure.

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