

ELLIE MAE INC
Form 4
January 29, 2014

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 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

OMB APPROVAL

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Number: 3235-0287
Expires: January 31,
2005
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(Print or Type Responses)

1. Name and Address of Reporting Person *
BUCCELLATO CARL

(Last) (First) (Middle)

**C/O ELLIE MAE, INC., 4155
HOPYARD ROAD, SUITE 200**

(Street)

PLEASANTON, CA 94588

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol

ELLIE MAE INC [ELLI]

3. Date of Earliest Transaction
(Month/Day/Year)

01/27/2014

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

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

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 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. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
Common Stock	01/27/2014		M		24,000	A	\$ 1.38 (1)
Common Stock	01/27/2014		M		5,666	A	\$ 1.38 (1)
Common Stock	01/27/2014		M		666	A	\$ 1.38 (1)
Common Stock	01/27/2014		M		666	A	\$ 1.38

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Common Stock	01/27/2014	M	5,000	A	⁽¹⁾ \$ 1.38	59,865	D
Common Stock	01/27/2014	M	5,000	A	⁽¹⁾ \$ 1.38	64,865	D
Common Stock	01/27/2014	M	4,000	A	⁽¹⁾ \$ 1.38	68,865	D

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

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SEC 1474
(9-02)

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. Transaction Code (Instr. 8)	5. Number of Derivative 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 Security (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title or Number of Shares
Non-Qualified Stock Option (right to buy)	\$ 1.38	01/27/2014		M	4,000	⁽²⁾ 04/27/2014	Common Stock 4,000
Non-Qualified Stock Option (right to buy)	\$ 1.38	01/27/2014		M	666	⁽²⁾ 12/20/2015	Common Stock 666
Non-Qualified Stock Option (right to buy)	\$ 1.38	01/27/2014		M	666	⁽²⁾ 12/20/2015	Common Stock 666
Non-Qualified Stock Option (right to buy)	\$ 1.38	01/27/2014		M	5,000	⁽²⁾ 12/20/2015	Common Stock 5,000
Non-Qualified Stock Option (right to buy)	\$ 1.38	01/27/2014		M	5,000	⁽²⁾ 12/20/2015	Common Stock 5,000

Non-Qualified Stock Option (right to buy)	\$ 1.38	01/27/2014	M	5,666	<u>(2)</u>	02/22/2017	Common Stock	5,6
Non-Qualified Stock Option (right to buy)	\$ 1.38	01/27/2014	M	24,000	<u>(2)</u>	04/23/2019	Common Stock	24,0

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BUCCELLATO CARL C/O ELLIE MAE, INC. 4155 HOPYARD ROAD, SUITE 200 PLEASANTON, CA 94588			X	

Signatures

/s/ Carl
Buccellato

01/29/2014

__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 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.

(2) 100% of the shares subject to the option are fully vested and exercisable.

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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