

ELLIE MAE INC

Form 3

February 10, 2016

**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 BROWN BRIAN E.

(Last)

(First)

(Middle)

2. Date of Event Requiring  
Statement

(Month/Day/Year)

02/10/2016

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)

SVP, General Counsel

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting  
Person☐ Form filed by More than One  
Reporting PersonC/O ELLIE MAE, INC.,Â 4420  
ROSEWOOD DRIVE, SUITE  
500

(Street)

PLEASANTON,Â CAÂ 94588

(City)

(State)

(Zip)

**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

3,530 <sup>(1)</sup>

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)

## Edgar Filing: ELLIE MAE INC - Form 3

|                                              | Date<br>Exercisable | Expiration<br>Date | Title           | Amount or<br>Number of<br>Shares | Security | Direct (D)<br>or Indirect<br>(I)<br>(Instr. 5) |   |
|----------------------------------------------|---------------------|--------------------|-----------------|----------------------------------|----------|------------------------------------------------|---|
| Non-Qualified Stock<br>Option (right to buy) | Â (2)               | 02/18/2024         | Common<br>Stock | 1,824                            | \$ 29.96 | D                                              | Â |
| Non-Qualified Stock<br>Option (right to buy) | Â (3)               | 05/07/2025         | Common<br>Stock | 2,056                            | \$ 61.46 | D                                              | Â |

## Reporting Owners

| Reporting Owner Name / Address                                                                  | Relationships |           |                        |       |
|-------------------------------------------------------------------------------------------------|---------------|-----------|------------------------|-------|
|                                                                                                 | Director      | 10% Owner | Officer                | Other |
| BROWN BRIAN E.<br>C/O ELLIE MAE, INC.<br>4420 ROSEWOOD DRIVE, SUITE 500<br>PLEASANTON, CA 94588 | Â             | Â         | Â SVP, General Counsel | Â     |

## Signatures

/s/ Brian E.  
Brown

02/10/2016

\_\_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) The reported shares are represented by 2 restricted stock unit grants. The reporting person will have 417 shares vest on 2/15/16, 417 shares vest on 2/15/17, and 418 shares vest on 2/15/18. The second restricted stock unit grant will vest in substantially equal annual installments over 4 years; 569 shares will vest on 5/15/16, 569 shares will vest on 5/15/17, 570 shares will vest on 5/15/18 and 570 shares will vest on 5/15/19.
- (2) Option vests with respect to 25% of the shares subject thereto on February 18, 2015, with 1/48th of the shares vesting monthly thereafter, such that the option will be fully vested and exercisable on February 18, 2018.
- (3) Option vests with respect to 25% of the shares subject thereto on May 7, 2016, with 1/48th of the shares vesting monthly thereafter, such that the option will be fully vested and exercisable on May 7, 2019.

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.