Edgar Filing: UNIVERSAL ELECTRONICS INC - Form 4

| UNIVERSAL E Form 4 January 05, 2014 FORM 4 Check this bo if no longer subject to Section 16. Form 4 or Form 5 obligations may continue <i>See</i> Instruction 1(b). | 6 4 UNITED OX STATEN Filed put Section 17(| STATES MENT OI rsuant to S (a) of the J | Wa F CHAN Section T Public U | ISHINGES IN SECU 16(a) of t Utility He | n, D.C. 20 N BENEF RITIES the Securi | D549 FICIAL O | E COMMISSIO WNERSHIP OF unge Act of 1934, t of 1935 or Secti 1940 | N OMB Number: Expires: Estimated burden hou response. | urs per |
|---|--|--|---------------------------------------|--|---|---|--|--|---|
| (Print or Type Resp | oonses) | | | | | | | | |
| 1. Name and Addre ARLING PAU | | Person <u>*</u> | Symbol | ERSAL H | nd Ticker of | r Trading | 5. Relationship o Issuer C (Cho | of Reporting Per eck all applicabl | |
| (Last) 201 EAST SAN FLOOR | | Middle) 8TH | | Day/Year) | Transaction | | X Director X Officer (gi below) | | % Owner ner (specify |
| | (Street) | | | endment, I onth/Day/Ye | Date Origina ear) | al | 6. Individual or Applicable Line) _X_ Form filed by | | erson |
| SANTA ANA, | CA 92707-67 | 708 | | | | | Person | More than One K | epotting |
| (City) | (State) | (Zip) | Tab | ole I - Non | -Derivative | e Securities A | Acquired, Disposed | of, or Beneficia | lly Owned |
| | 'ransaction Date onth/Day/Year) | | Date, if | Code (Instr. 8) | 4. Securi onAcquired Disposed (Instr. 3, | (A) or l of (D) 4 and 5) (A) or | 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) |
| Reminder: Report of | on a separate line | e for each cl | ass of sec | urities ben | eficially ow | ned directly | or indirectly. | | |
| | | | | | inforr requi | nation con red to resp ays a curre | spond to the colle tained in this form ond unless the fo ently valid OMB co | n are not rm | SEC 1474 (9-02) |
| | Tab | | | | | sposed of, or convertible | • Beneficially Owned securities) | d | |

| 1. Title of | 2. | 3. Transaction Date | 3A. Deemed | 4. | 5. Number of | 6. Date Exercisable and | 7. Title and Am | ount of |
|-------------|------------|---------------------|--------------------|-----------|--------------|-------------------------|-----------------|---------|
| Derivative | Conversion | (Month/Day/Year) | Execution Date, if | Transacti | orDerivative | Expiration Date | Underlying Sec | urities |

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| Security (Instr. 3) | or Exercise Price of Derivative Security | | any (Month/Day/Year) | Code (Instr. 8) | Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | (Month/Day/Y | 'ear) | (Instr. 3 and | 4) |
|---|---|------------|-------------------------|--------------------|--|---------------------|--------------------|-----------------|-------------------------------------|
| | | | | Code V | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Restricted Stock Units (1) | \$ 0 | 01/01/2016 | | А | 14,595 | (1) | (1) | Common Stock | 14,595 |
| Emp Stock Option (Rt. to Buy) (2) | \$ 51.385 (<u>3)</u> | 01/01/2016 | | А | 39,915 | 01/01/2017 | 01/01/2023 | Common Stock | 39,915 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | |
|---|---------------|-----------|---------|-------|--|
| | Director | 10% Owner | Officer | Other | |
| ARLING PAUL D 201 EAST SANDPOINTE 8TH FLOOR SANTA ANA, CA 92707-6708 | Х | | CEO | | |
| Signatures | | | | | |

/s/Paul D. Arling, by Richard A. Firehammer, Jr., pursuant to Limited Power of Attorney dated January 22, 2003 (attached)

**Signature of Reporting Person

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).

Restricted Stock Grant was approved by the Compensation Committee of the Board of Directors on December 7, 2015 and ratified and
(1) approved by the Board of Directors on December 9, 2015, and granted on January 1, 2016 and will vest over a 3 year vesting schedule of 33.33% on January 1, 2017, and 8.33% quarterly thereafter.

Employee Stock Option Grant was approved by the Compensation Committee of the Board of Directors on December 7, 2015 and ratified
(2) and approved by the Board of Directors on December 9, 2015, and granted on January 1, 2016 and will vest over a 3 year vesting schedule of 33.33% on January 1, 2017, and 8.33% quarterly thereafter. These Stock Options have a 7 year life.

(3) Exercise Price determined in accordance with the terms of the Company's applicable Stock Incentive Plan.

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.

01/05/2015

Date