**ELLIE MAE INC** Form 3

February 10, 2016

#### UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

**OMB APPROVAL** 

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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 \*

BROWN BRIAN E.

(Last)

(First)

(Middle)

Statement

(Month/Day/Year)

02/10/2016

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

ELLIE MAE INC [ELLI]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

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

(Street)

10% Owner Director

(Check all applicable)

\_X\_\_ Officer Other (give title below) (specify below) SVP, General Counsel

6. Individual or Joint/Group Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

PLEASANTON, Â CAÂ 94588

(City) (State)

1. Title of Security (Instr. 4)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned

2. Amount of Securities Beneficially Owned

(Instr. 4)

3. Ownership Form:

4. Nature of Indirect Beneficial Ownership (Instr. 5)

Direct (D) or Indirect (I)

Common Stock

 $3,530^{(1)}$ 

(Instr. 5) Â D

SEC 1473 (7-02)

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

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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

5. Ownership Form of Derivative

6. Nature of Indirect Beneficial

Ownership

(Instr. 5)

Price of Derivative Security:

1

#### Edgar Filing: ELLIE MAE INC - Form 3

	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)	(2)	02/18/2024	Common Stock	1,824	\$ 29.96	D	Â
Non-Qualified Stock Option (right to buy)	(3)	05/07/2025	Common Stock	2,056	\$ 61.46	D	Â

# **Reporting Owners**

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

# **Signatures**

/s/ Brian E.
Brown

\*\*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).
- 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
- 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.
- 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.
- 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.

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