## Edgar Filing: UNIVERSAL ELECTRONICS INC - Form 3/A

#### UNIVERSAL ELECTRONICS INC

Form 3/A

February 10, 2017

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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

**OMB** 

3235-0104

0.5

Number:

**OMB APPROVAL** 

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**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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement UNIVERSAL ELECTRONICS INC [UEIC]  **KOOPMANS MENNO** (Month/Day/Year) 01/01/2017 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) **201 EAST** 02/09/2017 SANDPOINTE, 8TH FLOOR (Check all applicable) (Street) 6. Individual or Joint/Group 10% Owner Director \_X\_\_ Officer Other Filing(Check Applicable Line) (give title below) (specify below) \_X\_ Form filed by One Reporting Sr. Vice President Person **SANTA** Form filed by More than One ANA. CAÂ 92707-6708 Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 4. Nature of Indirect Beneficial 1. Title of Security 2. Amount of Securities Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Â Common Stock 1,217 D Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) owned directly or indirectly. 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 Derivative	5. Ownership Form of Derivative Security:	6. Nature of Indirect Beneficial Ownership (Instr. 5)
			Security	Direct (D)	

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	Date Exercisable	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Restricted Stock Units	(1)	(2)	Common Stock	840 (3)	\$ (4)	D	Â
Restricted Stock Units	(5)	(2)	Common Stock	1,680 (6)	\$ <u>(4)</u>	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
KOOPMANS MENNO						
201 EAST SANDPOINTE	â	â	Sr. Vice President	â		
8TH FLOOR	A	А	A Sr. vice President	А		
SANTA ANA, CA 92707-6708						

# **Signatures**

/s/Menno Koopmans by Valerie J. Ballard, pursuant to Limited Power of Attorney dated February 3, 2017 (attached)

02/10/2017

\*\*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) The reporting person received a grant of 2520 restricted stock units on December 19, 2014, that vest over a 3 year ratable annual vesting period which began on December 19, 2015.
- (2) Not Applicable
- (3) This is the number of restricted stock units outstanding on the the RSU Grant dated December 19, 2014.
- (4) Each restricted stock unit represents a contingent right to receive one share of UEI common stock.
- (5) The reporting person received a grant of 2520 restricted stock units on December 22, 2015, that vest over a 3 year ratable annual vesting period which began on December 22, 2016.
- (6) This is the number of restricted stock units outstanding on the RSU Grant dated December 22, 2015.

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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