#### Edgar Filing: SCHREINER GATES CATHLEEN - Form 4

#### SCHREINER GATES CATHLEEN

Form 4 January 02, 2019

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB Number:

3235-0287

Expires:

January 31, 2005

0.5

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**OMB APPROVAL** 

response...

if no longer subject to Section 16. Form 4 or Form 5 obligations

Check this box

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

1(b).

(Last)

(City)

(Print or Type Responses)

may continue.

See Instruction

1. Name and Address of Reporting Person \* SCHREINER GATES CATHLEEN

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

below)

(First)

(Middle)

(Zip)

ELLIE MAE INC [ELLI]

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

12/28/2018

(Check all applicable)

Director 10% Owner Other (specify X\_ Officer (give title

below) EVP, Sales & Marketing

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

(State)

(Street) 4. If Amendment, Date Original

Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

PLEASANTON, CA 94588

	Tube 1 Tron Berrial to Securities required, Disposed of, or Beneficiary 6 when								
nsaction Date 2A. Deemed	4. Securities Acquired 5. Amount o	f 6. Ownership 7. Nature of							
th/Day/Year) Execution D	on(A) or Disposed of Securities	Form: Direct Indirect							
any	(D) Beneficially	(D) or Beneficial							
(Month/Day	(Instr. 3, 4 and 5) Owned	Indirect (I) Ownership							
ì	Following	(Instr. 4) (Instr. 4)							
	Reported	· · · · · · · · ·							
	(A) Transaction(	s)							
	or (Instr. 3 and	4)							
	Amount (D) Price	<i>'</i>							
0/2010(1)	2.540 \$ 44.229	D							
8/2018 <u>(1)</u>	2,349 A 55.3 44,338	D							
0/2010(1)	2.540 D \$64 41.790	D							
8/2018 <u>(*)</u>	2,349 D \$ 04 41,789	D							
(Month/Day/ 8/2018 <u>(1)</u> 8/2018 <u>(1)</u>	Following Reported Transaction(	(Instr. 4) (Instr. 4)							

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

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# 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. 5. Number Transaction Derivative Code Securities (Instr. 8) Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount Underlying Securitie (Instr. 3 and 4)		
				Code V	ŕ	Date Exercisable	Expiration Date	Title	Amour or Number of Shares
Non-Qualified Stock Option (right to buy)	\$ 55.3	12/28/2018(1)		M	2,549	(2)	03/23/2025	Common Stock	2,54

## **Reporting Owners**

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

SCHREINER GATES CATHLEEN C/O ELLIE MAE, INC. 4420 ROSEWOOD DRIVE, SUITE 500 PLEASANTON, CA 94588

EVP, Sales & Marketing

### **Signatures**

/s/ Cathleen Schreiner
Gates
01/01/2019

\*\*Signature of Reporting Date
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).
- (1) The sales reported on this Form 4 were effected pursuant to the reporting person's Rule 10b5-1 trading plan.
- (2) 25% of the stock option shares vest on one year anniversary of grant date, 1/48th of the total shares vest monthly thereafter.
- (3) 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.

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.

Reporting Owners 2