#### Edgar Filing: STAAR SURGICAL CO - Form 3

#### STAAR SURGICAL CO

Form 3

September 11, 2013

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

Expires:

January 31, 2005

0.5

Estimated average burden hours per

response...

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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

**SECURITIES** 

30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person \*

Brown Stephen P

(Last)

(First) (Middle)

Statement

(Month/Day/Year)

09/09/2013

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

STAAR SURGICAL CO [STAA]

4. Relationship of Reporting Person(s) to Issuer

Director

\_X\_\_ Officer

Filed(Month/Day/Year)

1911 WALKER AVENUE

(Street)

(State)

(Check all applicable)

6. Individual or Joint/Group

5. If Amendment, Date Original

Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

MONROVIA, CAÂ 91016

(Zip)

(give title below) (specify below) Vice President & Chief Financi

Form filed by More than One

Reporting Person

### Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)

(City)

2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership Form:

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

10% Owner

Other

Direct (D) or Indirect

(I) (Instr. 5)

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

Ownership Form of Derivative Derivative Security:

5.

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

Expiration Exercisable Date

Amount or Title Number of Shares

Security Direct (D) or Indirect (I) (Instr. 5)

1

Edgar Filing: STAAR SURGICAL CO - Form 3

Common Stock Options  $\hat{A} \stackrel{(1)}{=} 09/08/2023 \stackrel{Common}{Stock} 50,000 $12.16$  D  $\hat{A}$ 

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Brown Stephen P 1911 WALKER AVENUE MONROVIA, CAÂ 91016

 $\hat{A}$   $\hat{A}$   $\hat{A}$  Vice President & Chief Financi  $\hat{A}$ 

# **Signatures**

/s/ Samuel Gesten as attorney-in-fact for Stephen
Brown

09/11/2013

\*\*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) 16,666 options will vest on 9/9/14, 16,667 options will vest on 9/9/15, and the remaining 16,667 options will vest on 9/9/16.

Â

#### **Remarks:**

Mr. Brown became subject to Section 16 obligations on September 9, 2013, and this form reportsÂ

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