

ENERGY FOCUS, INC/DE
Form 4
March 16, 2016

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN 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 *
Miller Marcia Jean

(Last) (First) (Middle)

ENERGY FOCUS, INC., 32000
AURORA ROAD, SUITE B

(Street)

SOLON, OH 44139

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol

ENERGY FOCUS, INC/DE [EFOI]

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

03/14/2016

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

___ Director ___ 10% Owner
X Officer (give title below) ___ Other (specify below)

Chief Financial Officer

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

X Form filed by One Reporting Person
___ Form filed by More than One Reporting Person

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

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	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 Ownership (Instr. 4)
Common Stock				(A) or (D) Price	8,377	D	

Reminder: Report on a separate line for each class of securities beneficially 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.

SEC 1474 (9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

Edgar Filing: ENERGY FOCUS, INC/DE - Form 4

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. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Security (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable Expiration Date	Title	An or Nu of 3
Stock Option	\$ 7.7	03/14/2016		A	13,800	03/14/2017 ⁽¹⁾ 03/14/2026	Common Stock	13
Restricted Stock Units	<u>(2)</u>	03/14/2016		A	10,190	03/14/2017 ⁽³⁾ 03/14/2019 ⁽³⁾	Common Stock	10
Stock Option	\$ 5.47					03/16/2016 ⁽¹⁾ 03/16/2025	Common Stock	15
Stock Option	\$ 4.1					07/19/2014 ⁽¹⁾ 07/19/2023	Common Stock	2
Stock Option	\$ 2.3					02/15/2014 02/15/2023	Common Stock	2
Stock Option	\$ 15.08					09/17/2016 ⁽¹⁾ 09/17/2025	Common Stock	10
Stock Option	\$ 4.1					01/28/2015 ⁽¹⁾ 01/28/2024	Common Stock	5
Stock Option	\$ 3.9					03/23/2013 ⁽⁴⁾ 03/23/2022	Common Stock	1

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Miller Marcia Jean ENERGY FOCUS, INC. 32000 AURORA ROAD, SUITE B SOLON, OH 44139			Chief Financial Officer	

Signatures

/s/ Marcia J. Miller	03/16/2016
**Signature of Reporting Person	Date

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) Date applies to one-third of the total. The remaining two-thirds vest in equal monthly installments thereafter over a two year period.
- (2) Each Restricted Stock Unit represents a contingent right to receive one share of Energy Focus, Inc. Common Stock.
- (3) Date applies to one-third of the total. Another one-third vests two years from the grant date and the final one-third vests three years from the grant date.
- (4) Date applies to one-fourth of the total. The remaining three-fourths vest in equal monthly installments thereafter over a three year period.

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.