Edgar Filing: ELLIE MAE INC - Form 4

ELLIE MAE Form 4										
November 0	_							OMB AF	PROVAL	
FORM	UNITED	STATES SECU Wa	RITIES A ashington			ANGE CO	OMMISSION	OMB Number:	3235-0287	
Check th if no long subject to Section 1 Form 4 c	ger STATEN 16. or	IENT OF CHA	NGES IN SECUI	BENEF	ICL			Expires: Estimated a burden hour response	urs per	
Form 5 obligations may continue. See Instruction 1(b). 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)									
Luce Edgar Sym							5. Relationship of Reporting Person(s) to Issuer			
(Last)	(First) (I		3. Date of Earliest Transaction				(Check	all applicable)	
							Director 10% Owner _X Officer (give title Other (specify below) below) Chief Financial Officer			
			onth/Day/Year)				6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person			
PLEASAN	ΓΟΝ, CA 94588						Form filed by Mo Person	ore than One Rej	porting	
(City)	(State)	(Zip) Ta	ble I - Non-l	Derivative	Secu	rities Acqu	iired, Disposed of,	or Beneficiall	y Owned	
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)		Code (Instr. 3, 4 and 5) (Instr. 8) (A)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
~			Code V	Amount	or (D)	Price	(Instr. 3 and 4)			
Common Stock	11/03/2014 <u>(1)</u>		М	5,000	А	\$ 8.85	77,588	D		
Common Stock	11/03/2014(1)		S	5,000	D	\$ 38.1354	72,588	D		

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

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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. Transactic Code (Instr. 8)	5. Number on f 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 Securities (Instr. 3 and 4)		8. De Se (In
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Incentive Stock Option (right to buy)	\$ 8.85	11/03/2014 <u>(1)</u>		М	5,000	<u>(3)</u>	08/26/2020	Common Stock	5,000	

Reporting Owners

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
Luce Edgar C/O ELLIE MAE, INC. 4155 HOPYARD ROAD, SUITE 200 PLEASANTON, CA 94588			Chief Financial Officer				

Signatures

/s/ Edgar A. 11/04/2014 Luce Date

**Signature of Reporting 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 exercise and sale of these stock options was completed pursuant to the Rule 10b5-1 trading plan adopted by Edgar A. Luce.

The price reported is a weighted average price. The shares were sold in multiple transactions ranging from \$38.1 to \$38.195, inclusive. The reporting person undertakes to provide to Ellie Mae, Inc., any security holder of Ellie Mae, Inc., or the staff of the Securities and (2) Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in footnote (2) to this Form 4.

- (3) 100% of the shares subject to the option are fully vested and exercisable.
- The reported transaction is a grant of a derivative security, in which we have left column 8 blank, and have reported the exercise or (4) 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.

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