

GAIAM, INC
Form 3
July 06, 2016

FORM 3

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

OMB APPROVAL

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**INITIAL STATEMENT OF 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 * 2. Date of Event
Requiring Statement
Warkins Brad
(Last) (First) (Middle) 07/01/2016

3. Issuer Name and Ticker or Trading Symbol
GAIAM, INC [GAIA]

4. Relationship of Reporting
Person(s) to Issuer

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

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer ☐ Other
(give title below) (specify below)
President and COO

C/O GAIA, INC., 833 W.
SOUTH BOULDER ROAD,
BLDG. G

(Street)

LOUISVILLE, CO 80027-2452

(City)

(State)

(Zip)

6. Individual or Joint/Group
Filing(Check Applicable Line)
☒ Form filed by One Reporting
Person
☐ Form filed by More than One
Reporting Person

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security
(Instr. 4)

2. Amount of Securities
Beneficially Owned
(Instr. 4)

3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)

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

Class A Common Stock

6,000

D

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

SEC 1473 (7-02)

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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)
Title

4. Conversion
or Exercise
Price of
Derivative

5. Ownership
Form of
Derivative
Security:

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

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	Date Exercisable	Expiration Date		Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Option (right to buy)	Â (1)	10/30/2023	Class A Common Stock	25,000	\$ 6.18	D	Â
Employee Stock Option (right to buy)	Â (2)	11/04/2024	Class A Common Stock	50,000	\$ 7.71	D	Â
Employee Stock Option (right to buy)	Â (3)	06/02/2025	Class A Common Stock	15,000	\$ 5	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Warkins Brad C/O GAIA, INC., 833 W. SOUTH BOULDER ROAD, BLDG. G LOUISVILLE,Â COÂ 80027-2452	Â	Â	Â President and COO	Â

Signatures

/s/ Paul C. Tarell, Jr. Attorney-In-Fact for Brad Warkins 07/06/2016

__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) Stock option provides for vesting and exercisability of 2% per month for 50 months commencing September 1, 2014.

(2) Stock option provides for vesting and exercisability of 2% per month for 50 months commencing December 1, 2014.

(3) The stock option was originally granted on January 15, 2009, extended on June 2, 2015, and originally provided for vesting and exercisability of 2% per month for 50 months commencing February 1, 2009. The stock option is fully vested.

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Remarks:

ExhibitÂ List:Â Â ExhibitÂ 24Â PowerÂ ofÂ Attorney

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.