GAIAM, INC Form 4 October 02, 2014

## 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

Estimated average burden hours per

**OMB APPROVAL** 

response...

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

may continue.

See Instruction

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

(Print or Type Responses)

1(b).

	Middle)			,,,,,,,			5. Relationship of Reporting Person(s) to Issuer				
OUTH BOULD		GAIAM, INC [GAIA]  3. Date of Earliest Transaction  (Month/Day/Veer)					(Check all applicable)  X Director 10% Owner				
833 WEST SOUTH BOULDER ROAD		(Month/Day/Year) 09/30/2014					Officer (give title Delow)  Officer (give title below)				
(Street)				_	al		6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting				
(State)	(Zip)	Tab	le I - Non-l	Derivative	Secu	rities A	cquired, Dispose	ed of, or Bene	ficially Owned		
	2A. Deemed Execution Date, if any (Month/Day/Year)		Code (Instr. 8)	onAcquired Disposed (Instr. 3,	(A) o of (D	)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	urities Ownership Indirect leficially Form: Beneficial ned Direct (D) Ownershi lowing or Indirect (Instr. 4) lorted (I) nsaction(s) (Instr. 4)			
09/30/2014			A	2,044	A	<u>(1)</u>	174,935	D			
							303,333	I	By Argyropoulos Investors, G.P.		
	E, CO 80027-24 (State)	E, CO 80027-2452  (State) (Zip)  2. Transaction Date Month/Day/Year)  Execution any (Month/Day/Day/Year)	Filed(Mo E, CO 80027-2452  (State) (Zip) Tab  2. Transaction Date 2A. Deemed Month/Day/Year) Execution Date, if any (Month/Day/Year)	Filed(Month/Day/Year)  E, CO 80027-2452  (State) (Zip) Table I - Non-1  2. Transaction Date 2A. Deemed 3.  Month/Day/Year) Execution Date, if Transaction any Code (Month/Day/Year) (Instr. 8)  Code V	Filed(Month/Day/Year)  E, CO 80027-2452  (State) (Zip) Table I - Non-Derivative  2. Transaction Date 2A. Deemed 3. 4. Securit Month/Day/Year) Execution Date, if TransactionAcquired any Code Disposed (Month/Day/Year) (Instr. 8) (Instr. 3, 4)  Code V Amount	Filed(Month/Day/Year)  E, CO 80027-2452  (State) (Zip) Table I - Non-Derivative Secu  2. Transaction Date Month/Day/Year) Execution Date, if any Code Disposed of (D (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and (A) or Code V Amount (D)	Filed(Month/Day/Year)  E, CO 80027-2452  (State) (Zip) Table I - Non-Derivative Securities A  2. Transaction Date 2A. Deemed 3. 4. Securities  Month/Day/Year) Execution Date, if TransactionAcquired (A) or any Code Disposed of (D) (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5)  (A) or Code V Amount (D) Price	(Street)  4. If Amendment, Date Original Filed(Month/Day/Year)  E, CO 80027-2452  (State)  (Zip)  Table I - Non-Derivative Securities Acquired, Dispose  2. Transaction Date Month/Day/Year)  Execution Date, if TransactionAcquired (A) or any Code Disposed of (D) (Month/Day/Year)  (Instr. 8)  (Instr. 3, 4 and 5)  Owned Following Reported Transaction(s) (Instr. 3 and 4)  (A)  Code V Amount (D)  Price  6. Individual of Applicable Line X_ Form filed Person  5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	(Street)  4. If Amendment, Date Original Filed(Month/Day/Year)  Filed(Month/Day/Year)  E, CO 80027-2452  (State)  (Zip)  Table I - Non-Derivative Securities Acquired, Disposed of, or Beneral Securities  2. Transaction Date Month/Day/Year)  Execution Date, if TransactionAcquired (A) or any Code Disposed of (D) (Month/Day/Year)  (Month/Day/Year)  (Month/Day/Year)  (Month/Day/Year)  (A)  Or  Code V Amount (D)  Price  6. Individual or Joint/Group Applicable Line)  X. Form filed by More than Or Person  5. Amount of 6. Securities Ownership Beneficially Form: Owned Direct (D) Following or Indirect Reported (I) Transaction(s) (Instr. 4) (Instr. 3 and 4)  109/30/2014  A 2,044 A (1) 174,935 D		

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.

#### Edgar Filing: GAIAM, INC - Form 4

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

1. Title of	2.	3. Transaction Date		4.	5.	6. Date Exerc		7. Title		8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transacti	orNumber	Expiration D	ate	Amou	nt of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Under	lying	Security	Secur
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Securi	ties	(Instr. 5)	Bene
	Derivative				Securities			(Instr.	3 and 4)		Own
	Security				Acquired						Follo
					(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						
					4, and 5)						
									Amount		
						Date	Expiration		or		
						Exercisable	Date	Title Number of	Number		
						LACICISAUIC L			of		
				Code V	(A) (D)				Shares		

## **Reporting Owners**

#### Relationships

Reporting Owner Name / Address 10% Director Officer Other Owner

ARGYROPOULOS JAMES P 833 WEST SOUTH BOULDER ROAD X LOUISVILLE, CO 80027-2452

### **Signatures**

/s/ Stephen J. Thomas Attorney-in-Fact for James P. 10/02/2014 Argyropoulos

> \*\*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) Issued in consideration for director services.

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.

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