### Edgar Filing: MITEK SYSTEMS INC - Form 3

#### MITEK SYSTEMS INC

Form 3 April 15, 2016

### FORM 3

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

OMB APPROVAL

OMB Number:

3235-0104

0.5

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

Expires: January 31, 2005

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

30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement MITEK SYSTEMS INC [MITK]  **SARAH CLARK** (Month/Day/Year) 04/06/2016 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 8911 BALBOA AVENUE (Check all applicable) (Street) 6. Individual or Joint/Group Filing(Check Applicable Line) Director 10% Owner \_X\_ Form filed by One Reporting Officer \_X\_ Other Person SAN DIEGO, CAÂ 92123 (give title below) (specify below) Form filed by More than One General Manager Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 2. Amount of Securities 4. Nature of Indirect Beneficial 1. Title of Security Beneficially Owned Ownership (Instr. 4) Ownership (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5)  $D^{(1)}$ Â Common Stock 80,000 Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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.

#### $Table\ II\ -\ Derivative\ Securities\ Beneficially\ Owned\ (\textit{e.g.},\ puts,\ calls,\ warrants,\ options,\ convertible\ securities)$

1. Title of Derivative Security	2. Date Exercisable and		3. Title and Amount of		4.	5.	6. Nature of Indirect
(Instr. 4)	Expiration Date (Month/Day/Year)		Securities Underlying		Conversion	Ownership	Beneficial
			Derivative Security		or Exercise	Form of	Ownership
			(Instr. 4)		Price of	Derivative	(Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of	Derivative	Security:	
					Security	Direct (D)	
						or Indirect	

#### Edgar Filing: MITEK SYSTEMS INC - Form 3

Shares (I) (Instr. 5)

Stock Option (Right to Buy)

11/04/2014 11/04/2024

Common Stock

 $20,000 \stackrel{(2)}{=} $2.66$ 

D Â

### **Reporting Owners**

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

SARAH CLARK

8911 BALBOA AVENUE SAN DIEGO, CAÂ 92123 Â

General Manager

## **Signatures**

/s/ Shannon Catalano, by power of attorney.

04/14/2016

\*\*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).
- Comprised of 8,740 shares of common stock and 71,250 shares of common stock subject to restricted stock units (RSU) held by the reporting person. Of the total 71,250 shares, 2,500 of the shares subject to the RSU award vest in two equal installments on 11/5/16 and 11/5/2017; 18,750 shares vest in 3 equal installments on 4/29/2016, 4/29/2017, and 4/29/2018; and 50,000 shares vest in 4 equal installments on 11/16/2016, 11/16/2017, 11/16/2018 and 11/16/2019.
- Represents a non-qualified stock option granted on November 4, 2014. Twenty-five percent of the shares subject to the award vested on (2) the first anniversary of the grant date and the remaining shares subject to the award began vesting monthly thereafter in thirty-six equal installments.

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