

GAIAM, INC
Form 3
July 06, 2016

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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 (Month/Day/Year)	3. Issuer Name and Ticker or Trading Symbol	5. If Amendment, Date Original Filed(Month/Day/Year)
(Last)	(First)	(Middle)	07/01/2016	GAIAM, INC [GAIA]	
C/O GAIA, INC., 833 W. SOUTH BOULDER ROAD, BLDG. G				(Check all applicable)	
(Street)				<input type="checkbox"/> Director <input type="checkbox"/> 10% Owner	6. Individual or Joint/Group Filing(Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person
LOUISVILLE, CO 80027-2452				<input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other (give title below) (specify below) President and COO	
(City)	(State)	(Zip)			

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)

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 (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)
---	---	---	---	---	--

Edgar Filing: GAIAM, INC - Form 3

	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.

Â

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.