

ENERGY FOCUS, INC/DE

Form 3

August 16, 2016

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

OMB APPROVAL

OMB Number: 3235-0104

Expires: January 31, 2005

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 \*

Â Port Michael Harry

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

08/16/2016

3. Issuer Name **and** Ticker or Trading Symbol  
ENERGY FOCUS, INC/DE [EFOI]

4. Relationship of Reporting Person(s) to Issuer

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

(Check all applicable)

☐ Director ☐ 10% Owner  
☒ X Officer ☐ Other  
(give title below) (specify below)  
Interim CFO6. Individual or Joint/Group Filing(Check Applicable Line)  
☒ X Form filed by One Reporting Person  
☐ Form filed by More than One Reporting Person

32000 AURORA ROAD,Â SUITE B

(Street)

SOLON,Â OHÂ 44139

(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)

Common Stock

609

D

Â

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)

Date Exercisable

3. Title and Amount of Securities Underlying Derivative Security  
(Instr. 4)

Title

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:  
Direct (D)6. Nature of Indirect Beneficial Ownership  
(Instr. 5)

# Edgar Filing: ENERGY FOCUS, INC/DE - Form 3

	Expiration Date		Amount or Number of Shares	or Indirect (I) (Instr. 5)		
Stock Option	07/13/2016 <sup>(1)</sup>	09/17/2025	Common Stock	5,000	\$ 15.08	D    Â
Restricted Stock Units	03/16/2017 <sup>(2)</sup>	03/16/2019	Common Stock	3,520	\$ <sup>(3)</sup>	D    Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Port Michael Harry 32000 AURORA ROAD SUITE B SOLON,Â OHÂ 44139	Â	Â	Â Interim CFO	Â

## Signatures

/s/ Michael H.  
Port

08/16/2016

          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) Date applies to one-third of the total. The remaining two-thirds vest in equal monthly installments thereafter over a two year period.
- (2) Date applies to one-third of the total. Another one-third vests two years from the grant date and the final one-third vests three years from the grant date.
- (3) Each Restricted Stock Unit represents a contingent right to receive one share of Energy Focus, Inc. Common Stock.

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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