

Jones John Philip
Form 3
January 11, 2019

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 * | | 2. Date of Event Requiring Statement | 3. Issuer Name and Ticker or Trading Symbol | |
| Â Jones John Philip | | (Month/Day/Year) | ALIMERA SCIENCES INC [ALIM] | |
| (Last) | (First) | (Middle) | 4. Relationship of Reporting Person(s) to Issuer | 5. If Amendment, Date Original Filed(Month/Day/Year) |
| | | | | |
| 6120 WINDWARD PARKWAY,Â SUITE 290 | | | (Check all applicable) | |
| (Street) | | | ___ Director | ___ 10% Owner |
| | | | <u>X</u> Officer | ___ Other |
| | | | (give title below) | (specify below) |
| ALPHARETTA,Â GAÂ 30005 | | | Chief Financial Officer | 6. Individual or Joint/Group Filing(Check Applicable Line) |
| (City) | (State) | (Zip) | | <u>X</u> 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) |
|---------------------------------|---|--|---|
| Common Stock | 32,018 ⁽¹⁾ | 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) | 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4) | 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: Jones John Philip - Form 3

| | Date Exercisable | Expiration Date | | Amount or Number of Shares | | or Indirect (I) (Instr. 5) | |
|--------------------------------------|------------------|-----------------|--------------|----------------------------|--|----------------------------|---|
| Employee Stock Option (Right to Buy) | Â (2) | 06/24/2025 | Common Stock | 20,000 \$ 5 | | D | Â |
| Employee Stock Option (Right to Buy) | Â (3) | 12/15/2025 | Common Stock | 15,000 \$ 2.36 | | D | Â |
| Employee Stock Option (Right to Buy) | Â (4) | 08/02/2026 | Common Stock | 25,000 \$ 2 | | D | Â |
| Employee Stock Option (Right to Buy) | Â (5) | 09/28/2026 | Common Stock | 10,000 \$ 1.49 | | D | Â |
| Employee Stock Option (Right to Buy) | Â (6) | 12/07/2027 | Common Stock | 30,000 \$ 1.3 | | D | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Jones John Philip 6120 WINDWARD PARKWAY SUITE 290 ALPHARETTA, GA 30005 | Â | Â | Â Chief Financial Officer | Â |

Signatures

/s/ J. Philip
Jones

01/03/2019

**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) Represents 22,000 shares of common stock underlying a restricted stock unit award (RSU) and 10,018 shares of common stock that the Reporting Person owns. The RSU shall vest in five equal daily installments beginning on January 22, 2019, provided that the Reporting Person has provided continuous service to the Issuer through the applicable vesting date. The RSU represents the Issuer's unfunded and unsecured promise to issue shares of Common Stock on future vesting dates.
 - (2) Became exercisable with respect to one-quarter of the shares of stock which are subject to this option on June 17, 2016 (the "Initial Vesting Date") and with respect to the remainder of the shares in equal increments monthly over three years beginning on the date one month from the Initial Vesting Date, provided that the Reporting Person has provided continuous service to the Issuer through the applicable vesting date.
 - (3) Becomes exercisable in equal monthly installments over 48 months beginning one month after the vesting commencement date of December 16, 2015, provided the Reporting Person has provided continuous service to the Issuer through the applicable vesting date.
 - (4) Becomes exercisable in equal monthly installments over 48 months beginning one month after the vesting commencement date of August 1, 2016, provided the Reporting Person has provided continuous service to the Issuer through the applicable vesting date.
 - (5) Becomes exercisable in equal monthly installments over 48 months beginning one month after the vesting commencement date of September 29, 2016, provided the Reporting Person has provided continuous service to the Issuer through the applicable vesting date.
 - (6)

Edgar Filing: Jones John Philip - Form 3

Becomes exercisable in equal monthly installments over 48 months beginning one month after the vesting commencement date of December 8, 2017, provided the Reporting Person has provided continuous service to the Issuer through the applicable vesting date.

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.