

ETHAN ALLEN INTERIORS INC

Form 4

November 17, 2016

FORM 4**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

OMB APPROVAL

OMB
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if no longer
subject to
Section 16.
Form 4 or
Form 5
obligations
may continue.
See Instruction
1(b).**STATEMENT OF CHANGES IN 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 *
WHITELY COREY

(Last) (First) (Middle)

ETHAN ALLEN DRIVE

(Street)

DANBURY, CT 06811

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading
Symbol**ETHAN ALLEN INTERIORS INC
[ETH]**3. Date of Earliest Transaction
(Month/Day/Year)**11/15/2016**4. If Amendment, Date Original
Filed(Month/Day/Year)5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify
below)**EVP Adm., CFO & Treas.**6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting
Person**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)
Stock Options (right to buy)	11/15/2016		M	28,000	A \$ 17.16 (1)	30,917	D
Stock Options (right to buy)	11/15/2016		F	20,043	D \$ 33.96 (2)	10,874	D

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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information contained in this form are not**SEC 1474
(9-02)

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

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Options (right to buy)	\$ 25.71	11/15/2016		M		2,000		06/20/2008 ⁽³⁾	06/20/2018	Common Stock	2,000
Stock Options (right to buy)	\$ 17.6	11/15/2016		M		3,000		11/05/2008 ⁽³⁾	11/05/2018	Common Stock	3,000
Stock Options (right to buy)	\$ 11.74	11/15/2016		M		10,000		11/12/2009 ⁽³⁾	11/12/2019	Common Stock	10,000
Stock Options (right to buy)	\$ 19.07	11/15/2016		M		6,000		07/26/2011 ⁽³⁾	07/26/2021	Common Stock	6,000
Stock Options (right to buy)	\$ 20.63	11/15/2016		M		7,000		07/31/2012 ⁽³⁾	07/31/2022	Common Stock	7,000

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
WHITELY COREY ETHAN ALLEN DRIVE DANBURY, CT 06811	EVP Adm., CFO & Treas.

Signatures

Corey Whitely

11/17/2016

__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) The price reported in Column 4 is a weighted average price. These stock options were exercised in multiple transactions at prices set forth in Table II, inclusive. The reporting person undertakes to provide to ETH, any security holder of ETH, or the staff of the SEC, upon request, full information regarding the number of options exercised at each separate price with the ranges set forth in this footnote.

(2) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions as part of a cashless stock option exercise at prices ranging from \$33.80 to \$34.10, inclusive. The reporting person undertakes to provide to ETH, any security holder of ETH, or the staff of the SEC, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in this footnote.

(3) The date indicated is the grant date and the options vest in four equal installments beginning on such date.

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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