

Acuta Capital Fund, LP
Form 4
May 01, 2018

FORM 4

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

Check this box
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

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
Acuta Capital Fund, LP

2. Issuer Name **and** Ticker or Trading
Symbol
IRIDEX CORP [IRIX]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)
1301 SHOREWAY ROAD, SUITE
350

3. Date of Earliest Transaction
(Month/Day/Year)
07/03/2017

____ Director ____X____ 10% Owner
____ Officer (give title below) ____ Other (specify below)

(Street)

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

6. Individual or Joint/Group Filing(Check
Applicable Line)
X Form filed by One Reporting Person
____ Form filed by More than One Reporting
Person

BELMONT, CA 94002

(City) (State) (Zip)

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 Indirect Beneficial Ownership (Instr. 4)	
			Code	V	Amount	(A) or (D)	Price	
Common Stock	07/03/2017		P		2,756	A	\$ 9.7493 (1)	1,159,767 D
Common Stock	07/05/2017		P		3,183	A	\$ 9.5298 (2)	1,162,950 D
Common Stock	07/06/2017		P		17,600	A	\$ 9.5318 (3)	1,180,550 D
Common Stock	07/07/2017		P		8,217	A	\$ 9.6228	1,188,767 D

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					<u>(4)</u>		
Common Stock	07/10/2017	P	6,933	A	\$ 9.6064 <u>(5)</u>	1,195,700	D
Common Stock	07/11/2017	P	15,545	A	\$ 9.5294 <u>(6)</u>	1,211,245	D
Common Stock	07/12/2017	P	9,742	A	\$ 9.361 <u>(7)</u>	1,220,987	D
Common Stock	07/13/2017	P	5,017	A	\$ 9.3097 <u>(8)</u>	1,226,004	D
Common Stock	07/14/2017	P	3,071	A	\$ 9.4336 <u>(9)</u>	1,229,075	D
Common Stock	07/17/2017	P	2,017	A	\$ 9.3879 <u>(10)</u>	1,231,092	D
Common Stock	07/18/2017	P	3,695	A	\$ 9.3902 <u>(11)</u>	1,234,787	D
Common Stock	07/19/2017	P	4,141	A	\$ 9.4172 <u>(12)</u>	1,238,928	D
Common Stock	07/20/2017	P	3,115	A	\$ 9.557 <u>(13)</u>	1,242,043	D
Common Stock	07/21/2017	P	7,020	A	\$ 9.5374 <u>(14)</u>	1,249,063	D
Common Stock	07/24/2017	P	2,895	A	\$ 9.5737 <u>(15)</u>	1,251,958	D
Common Stock	07/25/2017	P	670	A	\$ 9.62 <u>(16)</u>	1,252,628	D
Common Stock	07/26/2017	P	4,415	A	\$ 9.621 <u>(17)</u>	1,257,043	D
Common Stock	07/27/2017	P	7,442	A	\$ 9.4684 <u>(18)</u>	1,264,485	D
Common Stock	07/28/2017	P	8,633	A	\$ 9.5023 <u>(19)</u>	1,273,118	D
	07/31/2017	P	5,137	A		1,278,255	D

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Common Stock					\$ 9.4453 (20)			
Common Stock	08/01/2017	P	8,055	A	\$ 9.1373 (21)	1,286,310	D	
Common Stock	08/02/2017	P	4,685	A	\$ 8.7567 (22)	1,290,995	D	
Common Stock	08/03/2017	P	2,040	A	\$ 8.6671 (23)	1,293,035	D	
Common Stock	08/04/2017	P	16,402	A	\$ 8.1788 (24)	1,309,437	D	
Common Stock	08/07/2017	P	600	A	\$ 8.2282 (25)	1,310,037	D	
Common Stock	08/08/2017	P	13,185	A	\$ 8.1814 (26)	1,323,222	D	
Common Stock	08/09/2017	P	9,730	A	\$ 8.5953 (27)	1,332,952	D	
Common Stock	08/10/2017	P	2,852	A	\$ 8.4607 (28)	1,335,804	D	
Common Stock	08/11/2017	P	5,365	A	\$ 8.4762 (29)	1,341,169	D	
Common Stock	08/15/2017	P	555	A	\$ 8.5459 (30)	1,341,724	D	

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

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SEC 1474
(9-02)

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

1. Title of Derivative Security	2. Conversion or Exercise	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any	4. Transaction Code	5. Number of	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying	8. Price of Derivative Security	9. Number of Derivative Securities
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(Instr. 3)	Price of Derivative Security	(Month/Day/Year)	(Instr. 8)	Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	Securities (Instr. 3 and 4)	(Instr. 5)	Bene				
			Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Acuta Capital Fund, LP 1301 SHOREWAY ROAD SUITE 350 BELMONT, CA 94002		X		

Signatures

Acuta Capital Fund, LP, by its general partner, Acuta Capital Partners, LLC, /s/ Manfred Yu,
CCO & COO

05/01/2018

****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 shares were purchased in multiple transactions at prices ranging from \$9.68 to \$9.96 per share. The price reported reflects the volume weighted average purchase price for the transactions. The reporting person undertakes to provide upon request by the SEC staff, the issuer or a security holder of the issuer, full information regarding the number of shares sold at each separate price.

(2) The shares were purchased in multiple transactions at prices ranging from \$9.43 to \$9.59 per share. The price reported reflects the volume weighted average purchase price for the transactions. The reporting person undertakes to provide upon request by the SEC staff, the issuer or a security holder of the issuer, full information regarding the number of shares sold at each separate price.

(3) The shares were purchased in multiple transactions at prices ranging from \$9.33 to \$9.72 per share. The price reported reflects the volume weighted average purchase price for the transactions. The reporting person undertakes to provide upon request by the SEC staff, the issuer or a security holder of the issuer, full information regarding the number of shares sold at each separate price.

(4) The shares were purchased in multiple transactions at prices ranging from \$9.23 to \$9.85 per share. The price reported reflects the volume weighted average purchase price for the transactions. The reporting person undertakes to provide upon request by the SEC staff, the issuer or a security holder of the issuer, full information regarding the number of shares sold at each separate price.

(5) The shares were purchased in multiple transactions at prices ranging from \$9.55 to \$9.73 per share. The price reported reflects the volume weighted average purchase price for the transactions. The reporting person undertakes to provide upon request by the SEC staff, the issuer or a security holder of the issuer, full information regarding the number of shares sold at each separate price.

(6) The shares were purchased in multiple transactions at prices ranging from \$9.345 to \$9.65 per share. The price reported reflects the volume weighted average purchase price for the transactions. The reporting person undertakes to provide upon request by the SEC staff, the issuer or a security holder of the issuer, full information regarding the number of shares sold at each separate price.

(7)

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The shares were purchased in multiple transactions at prices ranging from \$7.84 to \$8.50 per share. The price reported reflects the volume weighted average purchase price for the transactions. The reporting person undertakes to provide upon request by the SEC staff, the issuer or a security holder of the issuer, full information regarding the number of shares sold at each separate price.

- (25) The shares were purchased in multiple transactions at prices ranging from \$8.21 to \$8.25 per share. The price reported reflects the volume weighted average purchase price for the transactions. The reporting person undertakes to provide upon request by the SEC staff, the issuer or a security holder of the issuer, full information regarding the number of shares sold at each separate price.

- (26) The shares were purchased in multiple transactions at prices ranging from \$8.10 to \$8.37 per share. The price reported reflects the volume weighted average purchase price for the transactions. The reporting person undertakes to provide upon request by the SEC staff, the issuer or a security holder of the issuer, full information regarding the number of shares sold at each separate price.

- (27) The shares were purchased in multiple transactions at prices ranging from \$8.50 to \$8.66 per share. The price reported reflects the volume weighted average purchase price for the transactions. The reporting person undertakes to provide upon request by the SEC staff, the issuer or a security holder of the issuer, full information regarding the number of shares sold at each separate price.

- (28) The shares were purchased in multiple transactions at prices ranging from \$8.38 to \$8.61 per share. The price reported reflects the volume weighted average purchase price for the transactions. The reporting person undertakes to provide upon request by the SEC staff, the issuer or a security holder of the issuer, full information regarding the number of shares sold at each separate price.

- (29) The shares were purchased in multiple transactions at prices ranging from \$8.44 to \$8.50 per share. The price reported reflects the volume weighted average purchase price for the transactions. The reporting person undertakes to provide upon request by the SEC staff, the issuer or a security holder of the issuer, full information regarding the number of shares sold at each separate price.

- (30) The shares were purchased in multiple transactions at prices ranging from \$8.52 to \$8.56 per share. The price reported reflects the volume weighted average purchase price for the transactions. The reporting person undertakes to provide upon request by the SEC staff, the issuer or a security holder of the issuer, full information regarding the number of shares sold at each separate price.

Remarks:

Due to limitations of the electronic filing system, this Form 4 is being filed in multiple parts. This is part 1 of 2.

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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