SEC Form 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

## **INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES**

OMB APPROVAL

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person*     2. Date of Event Requiring Statement (Month/Day/Year)       11/01/2019		3. Issuer Name and Ticker or Trading Symbol <u>UNIVERSAL ELECTRONICS INC</u> [ UEIC ]				
			10% Owne	r (Mor cify 6. In Appl	hth/Day/Year) dividual or Joint icable Line)	ate of Original Filed t/Group Filing (Check y One Reporting Person
						y More than One
Table I - Non-Derivative Securities Beneficially Owned						
1. Title of Security (Instr. 4)		Beneficially Owned (Instr. 4) Form: or Indi		t (D) (Instr. 5)		
Table II - Derivative Securities Beneficially Owned           (e.g., puts, calls, warrants, options, convertible securities)						
I. Title of Derivative Security (Instr. 4) Expiration Date (Month/Day/Year)		d 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise	5. Ownership Form:	6. Nature of Indirect Beneficial Ownership (Instr. 5)
Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Price of Derivative Security	Direct (D) or Indirect (I) (Instr. 5)	
11/01/2020	11/01/2029	Common Stock	20,000	52.845 <sup>(2)</sup>	D	
12/31/2019	(3)	Common Stock	3,333	0.00	D	
	Requiring Stater (Month/Day/Yea 11/01/2019 Table I - Nor 	Requiring Statement (Month/Day/Year) 11/01/2019 Table I - Non-Derivative .g., puts, calls, warra 2. Date Exercisable and Expiration Date (Month/Day/Year) Date Exercisable Expiration Date Expiration Date (Month/Day/Year)	Requiring Statement (Month/Day/Year)       UNIVERSAL ELECT         11/01/2019       4. Relationship of Reporting Pers (Check all applicable)         X       Director         Officer (give title below)       Officer (give title below)         Table I - Non-Derivative Securities Beneficial Beneficially Owned (Instr. 4)         Z. Amount of Securities Beneficially Owned (Instr. 4)         2. Date Exercisable and Expiration Date (Month/Day/Year)       3. Title and Amount of Securities Underlying Derivative Securities Securities Title         Date Exercisable       Expiration Date       3. Title and Amount of Securities Underlying Derivative Securities Securities Common Stock	Requiring Statement (Month/Day/Year)       UNIVERSAL ELECTRONICS         11/01/2019       4. Relationship of Reporting Person(s) to Issue (Check all applicable)         X       Director       10% Owne         Officer (give title below)       Other (spec- below)         Table I - Non-Derivative Securities Beneficially Owned (Instr. 5)       3. Ownersh Form: Direct or Indirect ( (Instr. 5)         Table II - Derivative Securities Beneficially Owned .g., puts, calls, warrants, options, convertible securities Expiration Date (Month/Day/Year)       3. Title and Amount of Securities Underlying Derivative Securities Curities Underlying Derivative Securities Underlying Derivative Securities Underlying Derivative Securities Shares         Date Expiration Date (Month/Day/Year)       3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)         Date Expiration Date (Month/Day/Year)       11/01/2020       11/01/2029         I 11/01/2020       11/01/2029       Common Stock       20,000	Requiring Statement (Month/Day/Year)       UNIVERSAL ELECTRONICS INC       UURIVERSAL ELECTRONICS INC       5. If.         11/01/2019       X       Director       10% Owner       Officer (give title below)       Officer (specify below)       6. In Appl         Table I - Non-Derivative Securities Beneficially Owned Beneficially Owned (Instr. 4)       3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)       4. Nat (Instr.         Table II - Derivative Securities Beneficially Owned .g., puts, calls, warrants, options, convertible securities Underlying Derivative Security (Instr. 4)       4. Conversion or Exercise Price of shares       4. Conversion of Shares         Date       Expiration Date       Date       Expiration Title       Amount of Shares       4. Conversion of Shares	Requiring Statement (Month/Day/Year)       UNIVERSAL ELECTRONICS INC       UEIC         11/01/2019       4. Relationship of Reporting Person(s) to Issuer (Check all applicable) X       5. If Amendment, D. (Month/Day/Year)         4. Relationship of Reporting Person(s) to Issuer (Check all applicable) X       10% Owner         Officer (give title below)       Other (specify below)       5. If Amendment, D. (Month/Day/Year)         Table 1 - Non-Derivative Securities Beneficially Owned       6. Individual or Join Applicable Line) X         Emericially Owned (Instr. 4)       3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)       4. Nature of Indirect (Instr. 5)         Table II - Derivative Securities Beneficially Owned .g., puts, calls, warrants, options, convertible securities (Month/Day/Year)       3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)       4. Conversion or Exercisable and Expiration Date (Month/Day/Year)       5. Ownership or Exercisable and Expiration Date (Month/Day/Year)       5. Ownership or Exercisable and Expiration Date (Indirect Shares       5. Ownership or Exercisable Price of Derivative Shares       5. Ownership Or Exercisable (I) (Instr. 5)         Date Expiration Date (Month/Day/Year)       11/01/2029       Common Stock       20,000       52.845(2)       D

xplanation of Responses:

1. Stock Options were granted on November 1, 2019 by action of the Corporate Governance and Nominate Committee, ratified by the Board of Directors. The options will vest ratably over the next three years and will expire on November 1, 2029.

2. Price determined in accordance with the terms of the Company's applicable Stock Incentive Plan.

3. RSU Grant awarded pursuant to the 2018 Directors Compensation Plan as described in the Company's definitive Proxy materials for the 2019 Annual Meeting of Stockholders. These Restricted Stock Units were prorated from November 1, 2019 and will vest as follows: 833 shares on December 31, 2019, 1,250 shares on March 31, 2020 and 1,250 shares on June 30, 2020.

Remarks:

/s/ Sue Ann R. Hamilton by Valerie J. Ballard

11/12/2019

\*\* Signature of Reporting Person Date

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

\* 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.

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