SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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	Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).
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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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* <u>ARLING PAUL D</u>				2. Issuer Name and Ticker or Trading Symbol UNIVERSAL ELECTRONICS INC UEIC					CIC (Check					
(Last) 15147 N SCOTT	(First) TSDALE RE	(Middle) O STE H300		3. Date of Earliest Transaction (Month/Day/Year) 08/09/2024					~	Officer (give title Other (specify below) below) CEO				
(Street) SCOTTSDALE AZ 85254			4	4. If Amendment, Date of Original Filed (Month/Day/Year)						6. Indiv Line)	· ·			
(City)	(State)	(Zip)	F	Rule 10b5-1(c) Transaction Indication Check this box to indicate that a transaction was made pursuant to a contract, instruction or written plan that is intended satisfy the affirmative defense conditions of Rule 10b5-1(c). See Instruction 10.								ed to		
		Table I - N	on-Derivati	tive	Securities Ac	quire	d, Di	sposed of	, or Be	eneficially	Owned			
Date			2. Transaction Date (Month/Day/Ye	Execution Date,		Transaction Code (Instr.		4. Securities Disposed Of			5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership	
						Code	v	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)		(Instr. 4)	
Common Stock		08/09/202	24		М		4,711	A	(1)	280,538	<mark>I</mark> (2)	By Arling Family Trust		
Common Stock			08/00/202	24		F		1 071(3)	D	\$10,105 (4)	278 567	I (2)	By Arling	

Common Stock	08/09/2024	М	4,711	A	(1)	280,538	I ⁽²⁾	Family Trust
Common Stock	08/09/2024	F	1,971 ⁽³⁾	D	\$10 .105 ⁽⁴⁾	278,567	I ⁽²⁾	By Arling Family Trust
Common Stock	08/10/2024	м	2,532	A	(1)	281,099	I ⁽²⁾	By Arling Family Trust
Common Stock	08/10/2024	F	1,059(3)	D	\$10.105 ⁽⁴⁾	280,040	[⁽²⁾	By Arling Family Trust
Common Stock						11,800	D	
Common Stock						1,000	I	By

Spouse Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 3. Transaction Date 3A. Deemed Execution Date, 6. Date Exercisable and Expiration Date 9. Number of derivative 1. Title of Derivative 8. Price of Derivative 11. Nature of Indirect 5. Number 7. Title and 10. 2. Conversion 4. Transaction Ownership Amount of of of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) Securities Underlying Derivative Security Security (Instr. 3) or Exercise Price of (Month/Day/Year) if any (Month/Day/Year) Code (Instr. 8) (Month/Day/Year) Security (Instr. 5) Securities Beneficially Form: Direct (D) Beneficial Ownership Owned Following Reported Derivative or Indirect (Instr. 4) Security (Instr. 3 and 4) (I) (Instr. 4) Transaction(s) (Instr. 4) Amount Number Date Expiration of v Code (A) (D) Exercisable Date Title Shares Restricted Stock Units Common Stock (1) (5) 08/09/2024 (5) 4,711 72,878 Μ 4,711 \$<mark>0</mark> D Restricted Common (1) 08/10/2024 Μ 2,532 (5) (5) 2,532 \$<mark>0</mark> 70,346 D Stock Units Stock Employee Stock Option (Rt Commor (7) (6) (7) 0 418,830⁽⁸⁾ D Stock to Buy) Performance Stock Units Commor Stock (10) 36,000⁽¹¹⁾ (10) 0 (9) D

Explanation of Responses:

1. Each restricted stock unit represents a contingent right to receive one share of UEI common stock.

2. These shares are held by the Arling Family Trust. Mr. Arling disclaims beneficial ownership of the shares held by the Trust.

3. This transaction represents a withholding of shares to cover taxes applicable to a vesting of RSUs also reported on this Form 4.

- 4. Price determined in accordance with the terms of the Company's applicable Stock Incentive Plan.
- 5. The restricted stock units vest in accordance with the vesting schedule of each RSU grant.
- 6. Exercise Price determined in accordance with the terms of the Company's applicable Stock Incentive Plan.
- 7. The Exercisable and Expiration Dates were reported at the time the Stock Options were granted.
- 8. This figure represents an aggregate number of stock options held by Reporting Person.
- 9. Each performance stock unit represents a contingent right to receive one share of UEI common stock.
- 10. The performance stock units vest in accordance with the vesting schedule of each PSU grant.
- 11. This figure represents an aggregate number of performance stock units held by Reporting Person.

Remarks:

/s/Paul D. Arling, by Bryan Allison, pursuant to Limited

Power of Attorney dated May 7, 2024

<u>08/13/2024</u>

** 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 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).

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.