Gelbaum David Form 4/A July 08, 2010

### 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 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(b).

1. Name and Address of Reporting Person \* Gelbaum David

(First) (Middle) (Last)

1835 NEWPORT BLVD., A109-PMB 467

(Street)

COSTA MESA, CA 92627

2. Issuer Name and Ticker or Trading Symbol

ENERGY FOCUS, INC/DE [EFOI]

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

06/24/2009

4. If Amendment, Date Original

Filed(Month/Day/Year)

06/29/2009

**OMB APPROVAL** 

**OMB** Number:

3235-0287

Expires:

January 31, 2005

Estimated average burden hours per

response...

0.5

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director Officer (give title below)

10% Owner Other (specify

6. Individual or Joint/Group Filing(Check

Applicable Line)

Form filed by One Reporting Person X Form filed by More than One Reporting

5. Amount of

Securities

(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

4. Securities

1.Title of Security (Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year)

Execution Date, if (Month/Day/Year)

Code

3.

TransactionAcquired (A) or (Instr. 8)

Code V Amount (D) Price

Disposed of (D) (Instr. 3, 4 and 5)

(A)

or

Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)

6. Ownership Form: Direct (I) (Instr. 4)

7. Nature of Indirect (D) or Indirect Beneficial Ownership

(Instr. 4)

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

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

1. Title of Derivative Conversion Security or Exercise

3. Transaction Date 3A. Deemed (Month/Day/Year)

Execution Date, if any

5. Number Transaction of Derivative Expiration Date Code Securities

6. Date Exercisable and (Month/Day/Year)

7. Title and Amount of 8. l Underlying Securities De (Instr. 3 and 4) Sec

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| (Instr. 3)                  | Price of<br>Derivative<br>Security | <b>(A)</b> | Aonth/Day/Year) | (Instr. | 8) | Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) |     |                     |                    |                 | (I                                     |  |
|-----------------------------|------------------------------------|------------|-----------------|---------|----|--|-----|---------------------|--------------------|-----------------|--|--|
|                             |                                    |            |                 | Code    | V  | (A)  | (D) | Date<br>Exercisable | Expiration<br>Date | Title           | Amount<br>or<br>Number<br>of<br>Shares |  |
| Director<br>Stock<br>Option | \$ 0.6                             | 06/24/2009 |                 | A       |    | 8,750  |     | <u>(1)</u>          | 02/25/2011         | Common<br>Stock | 8,750                                  |  |

## **Reporting Owners**

| Reporting Owner Name / Address  | Relationships |           |         |            |  |  |  |  |
|---|---------------|-----------|---------|------------|--|--|--|--|
| Toporous o mar rume / rume os   | Director      | 10% Owner | Officer | Other      |  |  |  |  |
| Gelbaum David<br>1835 NEWPORT BLVD.<br>A109-PMB 467<br>COSTA MESA, CA 92627         |               | X         |         |            |  |  |  |  |
| Gelbaum Monica Chavez<br>1835 NEWPORT BLVD.<br>A109-PMB 467<br>COSTA MESA, CA 92627 |               | X         |         | Co-Trustee |  |  |  |  |
| Quercus Trust<br>1835 NEWPORT BLVD.<br>A109-PMB 467<br>COSTA MESA, CA 92627         |               | X         |         |            |  |  |  |  |

## **Signatures**

| /s/ David Gelbaum, Co-Trustee, The Quercus Trust  |            |  |  |
|---|------------|--|--|
| **Signature of Reporting Person   | Date       |  |  |
| /s/ David Gelbaum, as attorney-in-fact for Monica Chavez Gelbaum, Co-Trustee, The Quercus Trust | 07/08/2010 |  |  |
| **Signature of Reporting Person   | Date       |  |  |

\*\*Signature of Reporting Person

# **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).
- The option is exercisable when it is vested, which vesting occurs in 12 equal installments commencing one month from the date of the grant. All 8,750 shares underlying the option have vested as of the date of this Form 4.

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.

Reporting Owners 2