

LISTER ROBERT D
Form 4
March 09, 2018

FORM 4

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

OMB APPROVAL

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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 *
LISTER ROBERT D

2. Issuer Name and Ticker or Trading Symbol
IMAX CORP [IMAX]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
902 BROADWAY, 20TH FLOOR

3. Date of Earliest Transaction (Month/Day/Year)
03/07/2018

____ Director _____ 10% Owner
____ Officer (give title below) _____ Other (specify below)
Chief Legal & Sr Exec VP

(Street)
NEW YORK, NY 10010-6002

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

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

(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 Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| common shares (opening balance) | | | | | 41,456 | D | |
| common shares | 03/07/2018 | | M | <u>6,213</u> ⁽¹⁾ A \$ 0 | 47,669 | D | |
| common shares | 03/07/2018 | | M | <u>7,363</u> ⁽¹⁾ A \$ 0 | 55,032 | D | |
| common shares | 03/07/2018 | | M | <u>8,089</u> ⁽¹⁾ A \$ 0 | 63,121 | D | |
| | 03/08/2018 | | S | | 51,247 | D | |

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common shares 11,874 \$
(2) 20.3985

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

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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 |
| restricted share units (3) | \$ 0 (4) | 03/07/2018 | | M | 6,213 (1) | 03/07/2018 12/01/2019 | common shares 6,213 |
| restricted share units (3) | \$ 0 (4) | 03/07/2018 | | M | 7,363 (1) | 03/07/2018 12/01/2020 | common shares 7,363 |
| restricted share units (3) | \$ 0 (4) | 03/07/2018 | | M | 8,089 (1) | 03/07/2018 01/01/2021 | common shares 8,089 |
| restricted share units (3) | \$ 0 (4) | 03/07/2018 | | A | 50,359 | (6) 12/31/2021 | common shares 50,359 |
| stock options (to buy) | \$ 20.85 | 03/07/2018 | | A | 55,910 | (7) 03/07/2025 | common shares 55,910 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|--------------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| LISTER ROBERT D 902 BROADWAY 20TH FLOOR NEW YORK, NY 10010-6002 | | | Chief Legal & Sr Exec VP | |

Signatures

Robert D Lister

03/08/2018

**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) Represents the conversion upon vesting of restricted share units into common shares.
- (2) Mr. Lister is reporting the sale of common shares to satisfy the tax withholding obligations in connection with the delivery of common shares upon conversion of the restricted share unit
- (3) Each restricted share unit represents a contingent right to receive one common share of IMAX Corporation.
- (4) Each restricted share unit is the economic equivalent of one common share of IMAX Corporation.
This represents the number of restricted share units or stock options for this transaction only. Mr. Lister's aggregate remaining
- (5) outstanding option, restricted share unit and common share balances following these transactions will be 319,556; 102,039 and 51,247 respectively.
- (6) The restricted share units vest and will be converted to common shares in four installments 12,590 on each of March 7, 2019; March 7, 2020 and March 7, 2021 and 12,589 on December 1, 2021.
- (7) The stock options will become exercisable in 4 installments: 13,978 on each of March 7, 2019; March 7, 2020 and March 7, 2021 and 13,976 on March 7, 2022.

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.