Edgar Filing: Hilliard Eric - Form 5

| Hilliard Eric Form 5 February 14, 20 | 012 | | | | | | | | | | |
|---|--|----------------------|--|--|---|-------------------|--|--|--|--|--|
| FORM | 5 | | | | OMB AF | PPROVAL | | | | | |
| Check this bo | UNIT | ED STATES | OMB Number: | 3235-0362 January 31, | | | | | | | |
| no longer sub to Section 16 Form 4 or Fo 5 obligations may continue See Instructio | rm A | ANNUAL ST | Expires: Estimated a burden hou response | 2005 Iverage | | | | | | | |
| 1(b). | 1(b).Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,Form 3 HoldingsSection 17(a) of the Public Utility Holding Company Act of 1935 or SectionReported Form 430(h) of the Investment Company Act of 1940TransactionsTransactions | | | | | | | | | | |
| 1. Name and Address of Reporting Person <u>*</u> Hilliard Eric | | ting Person <u>*</u> | 2. Issuer Name and Ticker or Trading Symbol ENERGY FOCUS, INC/DE [EFOI] | 5. Relationship of Issuer | | | | | | | |
| (Last) | (First) | (Middle) | 3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year) | Director | x all applicable | Owner | | | | | |
| 32000 AURORA ROAD (Street) | | | 12/31/2011 | X Officer (give below) Chief C | title Othe below) Operating Offic | er (specify er | | | | | |
| | | | 4. If Amendment, Date Original Filed(Month/Day/Year) | 6. Individual or Joint/Group Reporting | | orting | | | | | |
| | | | | (check applicable line | | | | | | | |
| SOLON, OH | IÂ 44139 | | | _X_ Form Filed by C Form Filed by M | | | | | | | |

| (City) | (State) | (Zip) Tabl | le I - Non-Der | ivative Sec | curitie | s Acqui | red, Disposed of | f, or Beneficial | ly 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. Securit (A) or Di (Instr. 3, - | sposed 4 and 2 (A) or | l of (D) | 5. Amount of Securities Beneficially Owned at end of Issuer's Fiscal Year (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
| Common Stock | 12/31/2009 | Â | A4 | 20 | $\frac{\mathbf{A}}{(1)}$ | \$ 0.65 | 42,508 | D | Â |
| Common Stock | 12/31/2010 | Â | A4 | 5,277 | A (2) | \$ 0.81 | 47,785 | D | Â |
| Common Stock | 06/30/2011 | Â | A4 | 10,428 | A (2) | \$ 0.41 | 58,213 | D | Â |

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

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 control number.

Person

SEC 2270 (9-02)

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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) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | ate | Amou Unde Secur | rlying | 8. Price of Derivative Security (Instr. 5) | 9. of D S B B O E I S F I S F i (I |
|---|---|---|---|---|---------------------|--------------------|-----------------------|--|---|---|
| | | | | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | | |
|---|---------------|-----------|-------------------------|-------|--|--|--|
| 1 | Director | 10% Owner | Officer | Other | | | |
| Hilliard Eric 32000 AURORA ROAD SOLON, OH 44139 | Â | Â | Chief Operating Officer | Â | | | |
| Signaturos | | | | | | | |

Signatures

<u>**</u>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).

The correct number of shares were filed on the 12/31/2009 Form 4 filing, however, there was a mathematical error in the 'Amount of

(1) Securities Beneficially Owned Following Reported Transaction(s).' The amount filed was 32,592, but should have been 32,612. This error was also carried forward as of the reporting person's Form 4 filed 1/3/2011. The 'Amount of Securities Beneficially Owned Following Reported Transaction(s)' was filed as 42,488, but should have been 42,508.

(2) Acquired through Employee Stock Purchase Plan.

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.