

ETHAN ALLEN INTERIORS INC

Form 3

February 12, 2013

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104

Expires: January 31, 2005

Estimated average burden hours per response... 0.5

INITIAL STATEMENT OF 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 *

Â Franks Amy

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

02/08/2012

3. Issuer Name and Ticker or Trading Symbol

ETHAN ALLEN INTERIORS INC [ETH]

4. Relationship of Reporting Person(s) to Issuer

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

ETHAN ALLEN DRIVE

(Street)

(Check all applicable)

☐ Director ☐ 10% Owner☐ Officer ☒ Other

(give title below) (specify below)

Managing Director

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting Person☐ Form filed by More than One Reporting Person

DANBURY,Â CTÂ 06811

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)

2. Amount of Securities Beneficially Owned (Instr. 4)

3. Ownership Form:

Direct (D)
or Indirect (I)
(Instr. 5)

4. Nature of Indirect Beneficial Ownership (Instr. 5)

Common Stock

0

D

Â

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

SEC 1473 (7-02)

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.

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 4)

2. Date Exercisable and Expiration Date (Month/Day/Year)

Date Exercisable

Expiration Date

3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)

Title

Amount or Number of

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security: Direct (D) or Indirect

6. Nature of Indirect Beneficial Ownership (Instr. 5)

Edgar Filing: ETHAN ALLEN INTERIORS INC - Form 3

				Shares		(I) (Instr. 5)	
Common Stock (Options to Purchase)	03/25/2005	03/25/2014	Common Stock (Options to Purchase)	400	\$ 41.35	D	Â
Common Stock (Options to Purchase)	11/05/2009	11/05/2018	Common Stock (Options to Purchase)	700	\$ 17.6	D	Â
Common Stock (Options to Purchase)	11/12/2010	11/12/2019	Common Stock (Options to Purchase)	1,500	\$ 11.74	D	Â
Common Stock (Options to Purchase)	02/08/2014	02/08/2023	Common Stock (Options to Purchase)	3,000	\$ 28.67	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Franks Amy ETHAN ALLEN DRIVE DANBURY, CT 06811	Â	Â	Â	Managing Director

Signatures

Amy Franks 02/12/2013

**Signature of
Reporting Person

Date

Explanation of Responses:

* 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.

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.