

KATHWARI M FAROOQ

Form 4/A

October 19, 2018

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
1(b).

**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

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
KATHWARI M FAROOQ

2. Issuer Name **and** Ticker or Trading
Symbol
ETHAN ALLEN INTERIORS INC
[ETH]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)
25 LAKE AVENUE EXT.
(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
01/24/2018

☐ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)
Chairman, President & CEO

DANBURY, CT 06811

4. If Amendment, Date Original
Filed(Month/Day/Year)
09/25/2018

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 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 Stock	01/24/2018		D	16,234	D	\$ 0	1,967,259 ⁽¹⁾ D
Common Stock	09/21/2018		M ⁽³⁾	40,000	A	\$ 15.93 ⁽²⁾	2,007,259 ⁽¹⁾ D
Common Stock	09/21/2018		J ⁽⁴⁾	37,882	D	\$ 21.51	1,969,377 ⁽¹⁾ D

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

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information contained in this form are not
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SEC 1474
(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)	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)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Own Follo Repor Trans (Instr
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address	Director	10% Owner	Officer	Other
KATHWARI M FAROOQ 25 LAKE AVENUE EXT. DANBURY, CT 06811	X	X	Chairman, President & CEO	

Signatures

Eric D. Koster as attorney-in-fact for M. Farooq
Kathwari

10/19/2018

____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) This Form 4/A is being filed to correct a scrivener's error in the amount of securities beneficially owned after the reported transaction on the original Form 4 filed on September 25, 2018.

(2) This Form 4/A is being filed to correct a scrivener's error in the price of the securities acquired on the original Form 4 filed on September 25, 2018.

(3) This Form 4/A is being filed to correct a scrivener's error in Footnote (2) on the original Form 4 filed on September 25, 2018, which noted "(2) Represents the exercise of 40,000 stock options, of which 50,000 were granted to the reporting person on November 11, 2018." This should have read instead, "(2) Represents the exercise of 40,000 stock options, of which 50,000 were granted to the reporting person on November 11, 2008."

(4) Disposition of shares to cover exercise price and tax liabilities incurred to exercise options as set forth in Footnote (3) above.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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