

LISTER ROBERT D
Form 4
March 11, 2019

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 *
LISTER ROBERT D

(Last) (First) (Middle)

902 BROADWAY, 20TH FLOOR

(Street)

NEW YORK, NY 10010-6002

(City) (State) (Zip)

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

3. Date of Earliest Transaction
(Month/Day/Year)
03/07/2019

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

____ Director ____ 10% Owner
____ Officer (give title ____ Other (specify
below) below)

Chief Legal & Sr Exec VP

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

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)				(A) or (D)	Price		
			Code	V	Amount		
common shares (opening balance)					39,163	D	
common shares	03/07/2019		M	6,213 (1)	A \$ 0	45,376	D
common shares	03/07/2019		M	7,363 (1)	A \$ 0	52,739	D
common shares	03/07/2019		M	8,089 (1)	A \$ 0	60,828	D
	03/07/2019		M		A \$ 0	73,418	D

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common shares					12,590 (1)		
common shares	03/08/2019	S	19,052 (2)	D	\$ 22.4313	54,366	D
common shares	03/08/2019	C	25,715	A	\$ 20.25	80,081	D
common shares	03/08/2019	S	25,715	D	\$ 22.3077	54,366	D
common shares	03/11/2019	S	15,000	D	\$ 23.0846	39,366	D

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

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(9-02)

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⁾	03/07/2019		M			6,213 ⁽¹⁾	⁽⁵⁾	⁽⁵⁾	common shares	6,213
restricted share units ⁽³⁾	\$ 0 ⁽⁴⁾	03/07/2019		M			7,363 ⁽¹⁾	⁽⁵⁾	⁽⁵⁾	common shares	7,363
restricted share units ⁽³⁾	\$ 0 ⁽⁴⁾	03/07/2019		M			8,089 ⁽¹⁾	⁽⁵⁾	⁽⁵⁾	common shares	8,089
restricted share units ⁽³⁾	\$ 0 ⁽⁴⁾	03/07/2019		M			12,590 ⁽¹⁾	⁽⁵⁾	⁽⁵⁾	common shares	12,590
restricted share units ⁽³⁾	\$ 0 ⁽⁴⁾	03/07/2019		A		46,687		⁽⁷⁾	⁽⁷⁾	common shares	46,687
stock	\$ 22.49	03/07/2019		A		50,143		⁽⁸⁾	03/07/2026	common	50,143

options
(to buy)

shares

stock

options \$ 20.25 03/08/2019
(to buy)

C

25,715 01/09/2015 03/09/2019

common
shares 25,715

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 03/11/2019

**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.
- (5) The restricted share units vest and will be converted to common shares in four equal installments on each of the first four anniversaries of the grant date.

This represents the number of restricted share units or stock options for this transaction only. Mr. Lister's aggregate remaining
(6) outstanding option, restricted share unit and common share balances following these transactions will be 343,984; 107,997 and 39,366 respectively.
- (7) The restricted share units vest and will be converted to common shares in four installments 11,671 on each of March 7, 2020; March 7, 2021 and March 7, 2022 and 11,674 on March 7, 2013.
- (8) The stock options will become exercisable in 4 installments: 12,535 on each of March 7, 2020; March 7, 2021 and March 7, 2022 and 12,538 on March 7, 2023.

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