

GLU MOBILE INC
Form 3
March 21, 2007

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 BALLARD GREGORY L

(Last) (First) (Middle)

C/O GLU MOBILE INC.,Â 1800
GATEWAY DRIVE, SECOND
FLOOR

(Street)

SAN MATEO,Â CAÂ 94404

(City) (State) (Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

03/21/2007

3. Issuer Name **and** Ticker or Trading Symbol
GLU MOBILE INC [GLUU]

4. Relationship of Reporting
Person(s) to Issuer

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

(Check all applicable)

☒ Director ☐ 10% Owner

☒ Officer ☐ Other
(give title below) (specify below)

President and CEO

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 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

244,445

I

Held by Trust ⁽¹⁾

Common Stock

26,666

I

As Custodian for Minor Children
⁽²⁾

Common Stock

150,000

I

Held by Trust ⁽³⁾

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)

Edgar Filing: GLU MOBILE INC - Form 3

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)	3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)	4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Employee Stock Option (right to buy)	10/01/2003 ⁽⁴⁾	10/01/2008	Common Stock	105,556	\$ 0.18
Employee Stock Option (right to buy)	11/03/2004 ⁽⁵⁾	12/03/2009	Common Stock	166,666	\$ 0.75
Employee Stock Option (right to buy)	03/01/2005 ⁽⁶⁾	07/20/2016	Common Stock	183,333	\$ 3.9
Employee Stock Option (right to buy)	09/07/2007 ⁽⁷⁾	09/07/2016	Common Stock	133,332	\$ 3.9

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BALLARD GREGORY L C/O GLU MOBILE INC. 1800 GATEWAY DRIVE, SECOND FLOOR SAN MATEO, CA 94404	Â X	Â	Â President and CEO	Â

Signatures

/s/ L. Gregory Ballard by Kevin Chou,
Attorney-in-Fact

03/21/2007

__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).
- (1) These securities are held by L. Gregory Ballard and Lucy H. Ballard Revocable Trust U/A/D October 26, 1966, of which Mr. Ballard is a Co-trustee.
- (2) These securities are held in custodial accounts for Mr. Ballard's minor children.
- (3) These securities are held in a Grantor Retained Annuity Trust, of which Mr. Ballard is a trustee.
- (4) Immediately exercisable. Option vests over four years with 25% of the shares vesting one year after grant, and the remaining shares vesting in equal monthly installments thereafter for a period of three years.
- (5) Immediately exercisable. Options vest monthly.
- (6) Immediately exercisable. Options vest over four years, with 50% of the shares vesting after 2 years and the remaining shares vesting in equal monthly installments thereafter.
- (7) Options vest over four years with 25% of the shares vesting one year after grant, and the remaining shares vest in equal monthly installments thereafter for a period of three years.

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

Edgar Filing: GLU MOBILE INC - Form 3

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.