

KATHWARI M FAROOQ
Form 4/A
October 19, 2018

FORM 4

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

OMB APPROVAL

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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

(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

(City) (State) (Zip)

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

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)
				(A) or (D)	Price		
Common Stock	01/24/2018		D	16,234	\$ 0	D	
Common Stock	09/21/2018		M ⁽³⁾	40,000	\$ 15.93	D	
Common Stock	09/21/2018		J ⁽⁴⁾	37,882	\$ 21.51	D	

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

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(9-02)

displays a currently valid OMB control number.

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. Number of Derivative Securities Owned Beneficially (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address	Relationships			
	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
Date: 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. 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.