SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

| SUBIN NEIL S | 2. Date of Event Requiring Statement (Month/Day/Year) 01/12/2018 | 3. Issuer Name and Ticker or Trad ITERIS, INC. [ITI] | ding Symbol | | |
|--|---|---|---|---|--|
| (Last) (First) (Middle) 3300 SOUTH DIXIE HIGHWAY SUITE 1-365 | | 4. Relationship of Reporting Perso (Check all applicable) Director X Officer (give title below) | | 5. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable Line) | |
| (Street) WEST PALM BEACH FL 33405 | | | , | X Form filed by One Reporting Person Form filed by More than One Reporting Person | |
| (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 | | 100,000 ⁽¹⁾⁽²⁾ | Ι | By Trust A-2 - Lloyd I. Miller | |
| Common Stock | | 1,251,126 ⁽¹⁾⁽²⁾ | Ι | By LIM III - Trust A-4 | |
| Common Stock | | 1,251,125 ⁽¹⁾⁽²⁾ | Ι | By MBM - Trust A-4 | |
| Common Stock | | 193,714 ⁽¹⁾⁽²⁾ | Ι | By Trust C - Lloyd I. Miller | |
| Common Stock | | 57,720 ⁽¹⁾⁽²⁾ | I | By Trust D - Lloyd I. Miller | |
| Common Stock | | 42,743 ⁽¹⁾⁽²⁾ | I | By Lloyd I. Miller, IIII Revocable Trust | |
| Common Stock | | 1,456,523 ⁽¹⁾⁽²⁾ | I | By Milfam II L.P. | |
| Common Stock | | 372,175 ⁽¹⁾⁽²⁾ | Ι | By Milfam I L.P. | |
| Common Stock | | 32,190 ⁽¹⁾⁽²⁾ | Ι | By LIMFAM LLC | |
| Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) | | | | | |
| 1. Title of Derivative Security (Instr. 4) | 2. Date Exercisable an Expiration Date (Month/Day/Year) | d 3. Title and Amount of Securities 4. Underlying Derivative Security (Instr. 4) or Exe Price | | rcise Form: (Instr. 5) | |
| | | | Amount Deriv or Secu | ative or Indirect | |

Explanation of Responses:

1. Except for possessing voting and dispositive power, the reporting person disclaims any other beneficial ownership of, and specifically any pecuniary interest in, the securities reported herein. This filing is not, and shall not be deemed, an admission (and the reporting person expressly disclaims) that the reporting person is, for purposes of Rule 16a-1(a)(2) under Section 16 of the Securities Exchange Act of 1934, the beneficial owner of any equity securities covered by this filing.

2. Mr. Neil Subin has succeeded to the position of President and Manager of MILFAM LLC, which serves as manager, general partner, or investment advisor of a number of entities formerly managed or advised by the late Lloyd I. Miller, III. Mr. Subin also serves as trustee of a number of Miller family trusts. There has been no acquisition transaction by the reporting person with respect to the securities reported herein within the meaning of Section 16 of the Securities Exchange Act.

Title

Expiration

Date

Remarks:

| /s/ Paul N. Silverstein | | |
|-------------------------|--|--|
| Attorney-in-fact | | |

of

Shares

01/22/2018

** Signature of Reporting Person Date

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

 \ast 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).

Date

Exercisable

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

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 Number.