SEC Form 3 FORM 3

## UNITED STATES SECURITIES AND EXCHANGE

COMMISSION

Washington, D.C. 20549

## OMB APPROVAL

3235-OMB Number: 0104

## **INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES**

Estimated average burden hours per response: 0.5

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

| 1. Name and Address of Reporting Person <sup>*</sup><br>Carnifax Richard K  | 2. Date of B<br>Requiring S<br>(Month/Day<br>07/05/202         | Statement<br>//Year) | 3. Issuer Name <b>and</b> Ticker or Trading Symbol <u>UNIVERSAL ELECTRONICS INC</u> [ UEIC ] |   |                                    |   |  |
|---|--|----------------------|--|---|------------------------------------|---|--|
| (Last) (First) (Middle)<br>15147 N. SCOTTSDALE ROAD   | 07703/2022   |                      | 4. Relationship of Reporting<br>Issuer<br>(Check all applicable)<br>Director                 | 10% Owner                                     |                                    | 5. If Amendment, Date of Original<br>Filed (Month/Day/Year)<br>07/13/2022 |  |
| SUITE H300<br>(Street)<br>SCOTTSDALE AZ 85254<br>(City) (State) (Zip)   | ,  |                      | X Officer (give<br>title below)<br>V.P. Global Ope   | below)  |                                    | A Person  | e Line)<br>by One Reporting<br>by More than One          |
| Table I - Non-Derivative Securities Beneficially Owned  |  |                      |  |   |                                    |   |  |
| 1. Title of Security (Instr. 4)   |  |                      | 2. Amount of Securities<br>Beneficially Owned (Instr.<br>4)                                  | 3. Owne<br>Form: D<br>(D) or Ir<br>(I) (Instr | Direct O<br>ndirect                | Nature of Indirect Beneficial<br>wnership (Instr. 5)                      |  |
| Common Stock  |  |                      | 1,727  |   |                                    |   |  |
| Table II - Derivative Securities Beneficially Owned(e.g., puts, calls, warrants, options, convertible securities) |  |                      |  |   |                                    |   |  |
| , , , ,   | 2. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                      | 3. Title and Amount of Securiti<br>Underlying Derivative Security<br>(Instr. 4)              |   | 4.<br>Conversion<br>or Exercise    | se Form:  | 6. Nature of<br>Indirect Beneficial<br>Ownership (Instr. |
|   | Date<br>Exercisable  | Expiration<br>Date   | Title  | Amount<br>or<br>Number<br>of<br>Shares        | Price of<br>Derivative<br>Security | Direct (D)<br>or Indirect<br>(I) (Instr. 5)                               | 5)   |
| Restricted Stock Units  | (1)  | (1)                  | Common Stock   | 825   | 0.00                               | D   |  |
| Restricted Stock Units  | (2)  | (2)                  | Common Stock   | 1,672   | 0.00                               | D   |  |
| Restricted Stock Units  | (3)  | (3)                  | Common Stock   | 5,802   | 0.00                               | D   |  |

Explanation of Responses:

1. Restricted Stock Grant of 2,475 RSU's Granted on May 18, 2020, and vests over a 3 year ratable annual vesting schedule which began on May 18, 2021. The amount included in the table represents the remaining unvested portion of this grant as of the filing date.

2. Restricted Stock Grant of 2,508 RSU's Granted on February 25, 2021, and vests over a 3 year ratable annual vesting schedule which began on February 25, 2022. The amount included in the table represents the remaining unvested portion of this grant as of the filing date.

3. Restricted Stock Grant of 5,802 RSU's Granted on February 22, 2022, and vests over a 3 year ratable annual vesting schedule which will begin on February 22, 2023. **Remarks:** 

> /s/Richard Carnifax by Valerie J. Ballard, pursuant 07/29/2022 to Limited Power of Attorney dated July 11 2022 \*\* Signature of Reporting Date Person

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

\* 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).

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.