

BALLARD GREGORY L
Form 4
October 07, 2009

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

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 *
BALLARD GREGORY L

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
**C/O GLU MOBILE INC., 2207
BRIDGEPOINTE PARKWAY,
SUITE 250**

3. Date of Earliest Transaction
(Month/Day/Year)
10/05/2009

Director 10% Owner
 Officer (give title below) Other (specify below)
President and CEO

(Street)
SAN MATEO, CA 94404

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

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

(City) (State) (Zip)

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)
			Code	V	Amount (A) or (D) Price		
Common Stock	10/05/2009		M		80,000	D	
Common Stock	10/05/2009		S ⁽¹⁾		80,000	D	
Common Stock						I	Held in trust ⁽³⁾
Common Stock						I	Held in trust ⁽⁴⁾
					310,586	I	
					75,000	I	
					26,688	I	

Edgar Filing: BALLARD GREGORY L - Form 4

- Represents a weighted average price, as this transaction was executed in multiple trades at prices ranging from \$1.25 to \$1.35. The
- (2) reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares sold at each separate price.
 - (3) These shares are held by the L. Gregory Ballard and Lucy H. Ballard Revocable Trust U/A/D October 26, 1996, of which Mr. Ballard is a co-trustee.
 - (4) These shares are held in the L. Gregory Ballard & Lucy H. Ballard Trustees for the Ballard Family GRAT.
 - (5) These shares are held in custodial accounts for Mr. Ballard's minor children.
 - (6) This option was immediately exercisable and vested monthly over a four-year period.
- This option is scheduled to expire during a closed trading window under Glu Mobile Inc.'s Insider Trading Policy. In order to ensure that this in-the-money option does not expire unexercised, Mr. Ballard entered into a Rule 10b5-1 trading plan during the most recent open trading window in August 2009 in order to facilitate the sale of 140,000 of the 166,666 shares subject to this option. Mr. Ballard has now completed the sale of the 140,000 shares covered by his Rule 10b5-1 trading plan and there will be no more sales made under this plan.
- (7)

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.