SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

☐ Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. *See* Instruction 1(b).

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*	2. Issuer Name **and** Ticker or Trading Symbol	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)
CLARK CLINTON A	ETHAN ALLEN INTERIORS INC [NYSE: ETH]	X Director; 10% Owner; Officer (give title below); Other (specify below)
(Last) (First) (Middle) ETHAN ALLEN INTERIORS INC. ETHAN ALLEN DRIVE	3. Date of Earliest Transaction (Month/Day/Year) 05/04/2004	
(Street) DANBURY CT 06811	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line) X 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			
Ethan Allen common stock acquired by exercise of options	05/04/2004		M		6,000	A	$21.17	6,000	D	
Ethan Allen common stock acquired by exercise of options	05/04/2004		M		4,500	A	$27.38	10,500	D	
Ethan Allen common stock acquired by exercise of options	05/04/2004		M		2,000	A	$27.81	12,500	D	
Ethan Allen common stock acquired by exercise of options	05/04/2004		M		2,000	A	$26.75	14,500	D	
Ethan Allen common stock acquired by exercise of options	05/04/2004		M		2,000	A	$38	16,500	D	
Ethan Allen common stock acquired by exercise of options	05/04/2004		M		1,500	A	$31.7	18,000	D	
Ethan Allen common stock	05/04/2004		S		4,802	D	$41.21	13,198	D	

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 Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Option Exercise	$21.17	05/04/2004		X			6,000	09/17/1999	09/17/2007	Ethan Allen Common Stock	6,000	$0	16,500	D	
Option Exercise	$27.38	05/04/2004		X			4,500	08/05/2000	08/05/2008	Ethan Allen common stock	4,500	$0	12,000	D	
Option Exercise	$27.81	05/04/2004		X			2,000	11/17/2001	11/17/2009	Ethan Allen common stock	2,000	$0	10,000	D	
Option Exercise	$26.75	05/04/2004		X			2,000	08/02/2002	08/02/2010	Ethan Allen common stock	2,000	$0	8,000	D	
Option Exercise	$38	05/04/2004		X			2,000	08/02/2003	08/02/2011	Ethan Allen common stock	2,000	$0	6,000	D	
Option Exercise	$31.7	05/04/2004		X			1,500	08/07/2003	08/07/2012	Ethan Allen common stock	1,500	$0	4,500	D	

Explanation of Responses:

Remarks:

Clinton A. Clark 05/05/2004

** Signature of Reporting Person Date

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 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).

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.