## Edgar Filing: Wallace Joseph John - Form 4

Wallace Josep Form 4	ph John										
August 03, 20	)09										
FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549										PPROVAL 3235-0287	
Check this if no longe subject to Section 16 Form 4 or Form 5 obligation may contin <i>See</i> Instruct 1(b).	er <b>STATI</b> 5. Filed p snue. Section 1	oursuant to a 7(a) of the	F CHAN	GES IN I SECUR 5(a) of the ility Hold	BENEFI ITIES e Securitie ling Com	C <b>IAI</b> es Ex pany	chang Act of	NERSHIP OF te Act of 1934, f 1935 or Sectio 40	Expires: Estimated a burden hou response		
(Print or Type R	esponses)										
Wallace Joseph JohnSymbolCOL				2. Issuer Name <b>and</b> Ticker or Trading /mbol OLLECTORS UNIVERSE INC CLCT]				5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
(Month				Date of Earliest Transaction Month/Day/Year) 7/31/2009				Director 10% Owner X Officer (give title Other (specify below) below) Chief Financial Officer			
				nendment, Date Original Ionth/Day/Year)				<ul> <li>6. Individual or Joint/Group Filing(Check</li> <li>Applicable Line)</li> <li>_X_ Form filed by One Reporting Person</li> <li> Form filed by More than One Reporting</li> </ul>			
NEWPORT	BEACH, CA	92658						Person	More than One Re	eporting	
(City)	(State)	(Zip)	Table	e I - Non-D	erivative S	ecurit	ies Acq	uired, Disposed o	f, or Beneficial	ly Owned	
1.Title of Security (Instr. 3)	2. Transaction I (Month/Day/Ye	ar) Executio any	emed on Date, if Day/Year)	3. Transactic Code (Instr. 8) Code V	on(A) or Dis (D) (Instr. 3, 4	sposed	of	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)		
Common Stock	07/31/2009			А	50,517 (1)	A	\$0	56,567 <u>(2)</u>	D		

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

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 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. Transacti Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)			Secur	unt of rlying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owno Follo Repo Trans (Instr
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

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## **Reporting Owners**

<b>Reporting Owner Name / Address</b>		Relationships							
	Director	10% Owner	Officer	Other					
Wallace Joseph John COLLECTORS UNIVERS P.O. BOX 6280 NEWPORT BEACH, CA 9				Chief Financial Officer					
Signatures									
Christine Kakour	08/03/2	009							

<u>\*\*</u>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).

Awarded under the Issuer?s 2006 Equity Incentive Plan (which is a Section 16b-3 plan). Of these shares, 25% will vest immediately. The remaining 75% of the shares will be forfeited, in their entirety, if the Company fails to achieve, for the fiscal year ending June 30, 2010, an operating income goal that has been established by the Compensation Committee. If that goal is achieved, then (i) another 25% of the

- (1) an operating meeting been established by the compensation committee. If that goal is achieved, then (1) another 25% of the shares will vest (that is, will cease to be subject to the risk of forfeiture) as a result of the achievement of that goal and (ii) the remaining 50% of the shares will vest in two equal annual installments on June 30, 2011 and 2012, respectively, in each case provided that the Reporting Person is still in the Issuer?s service on such date.
- (2) 5,500 of the previously-reported shares were retroactively adjusted for the 10% stock dividend issued on November 3, 2008 to all of the Company's shareholders.

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.