

LIGHTPATH TECHNOLOGIES INC  
Form 8-K  
May 08, 2014

**UNITED STATES**

**SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

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**FORM 8-K**

**CURRENT REPORT**

Pursuant to Section 13 or 15(d) of the  
Securities Exchange Act of 1934

**Date of Report: May 08, 2014**  
**(Date of earliest event reported)**

**LightPath Technologies Inc.**  
**(Exact name of registrant as specified in its charter)**

**FL**  
**(State or other jurisdiction**  
**of incorporation) 000-27548**  
**(Commission File Number) 86-0708398**

**(IRS Employer**  
**Identification Number)**  
**2603 Challenger Tech CT #100**  
**(Address of principal executive offices) 32826**  
**(Zip Code)**  
**407-382-4003**  
**(Registrant's telephone number, including area code)**

**Not Applicable**  
**(Former Name or Former Address, if changed since last report)**

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions:

- Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
- Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
- Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))

o Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))

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**Item 2.02. Results of Operations and Financial Condition**

The Registrant issued a Press Release on May 8, 2014 announcing the results for the third fiscal quarter ended March 31, 2014. A copy of the Press Release is attached as Exhibit 99.1 to this Report.

**Item 9.01. Financial Statements and Exhibits**

Press Releases on May 8, 2014 (furnished herewith).

**(d) Exhibits**

99.1 Press Release of LightPath Technologies Inc. dated May 08, 2014

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**SIGNATURE**

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

Dated: May 08, 2014

**LIGHTPATH TECHNOLOGIES INC.**

By: /s/ Dorothy M Cipolla  
Dorothy M Cipolla  
*Dorothy M Cipolla*

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**Exhibit Index** **Exhibit No.** **Description** 99.1 Press Release of LightPath Technologies Inc. dated May 08, 2014

op" style="border: solid black; border-width: 1">

1. Name and Address of Reporting Person \*

Garber Alan M

2. Issuer Name **and** Ticker or Trading Symbol

EXELIXIS, INC. [EXEL] 5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director

Officer (give title below)

(Last)

10% Owner

Other (specify below)

(First)

(Middle)

C/O EXELIXIS, INC., 210 E. GRAND AVE. 3. Date of Earliest Transaction (Month/Day/Year)

01/04/2016

(Street)

SOUTH SAN FRANCISCO, CA 94080 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**

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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)
Common Stock <sup>(1)</sup>	01/04/2016 <sup>(2)</sup>		A	10,550 A	\$ 0 59,161 <sup>(3)</sup>	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.** SEC 1474 (9-02)

**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 Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction (Instr. 5)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

## Reporting Owners

**Reporting Owner Name / Address**

**Relationships**

Director 10% Owner Officer Other

Garber Alan M  
C/O EXELIXIS, INC.  
210 E. GRAND AVE.  
SOUTH SAN FRANCISCO, CA 94080

X

## Signatures

/s/ Jeffrey J. Hessekiel, Attorney  
in Fact

01/05/2016

\*\*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).
- (1) Represents shares of Exelixis, Inc. common stock that will be issued to the Reporting Person upon vesting of restricted stock units. Each restricted stock unit is the economic equivalent of one share of Exelixis, Inc. common stock.  
  
The restricted stock units were granted to the Reporting Person on the Transaction Date pursuant to the Exelixis, Inc. 2014 Equity Incentive Plan. The restricted stock units will vest as to 1/4th of the aggregate number of restricted stock units granted on each of April 1, 2016, July 1, 2016, September 30, 2016 and December 30, 2016.
- (3) Includes 10,550 shares of Exelixis, Inc. common stock that will be issued to the Reporting Person upon vesting of restricted stock units.

### Remarks:

#### EXHIBIT LIST:

Exhibit 24 - Power of Attorney

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.