

BRUECK STEVEN R J
Form 4
November 01, 2006

FORM 4

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

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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
BRUECK STEVEN R J

2. Issuer Name **and** Ticker or Trading
Symbol
LIGHTPATH TECHNOLOGIES
INC [LPTH]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

2603 CHALLENGER TECH
CT, SUITE 100

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
10/27/2006

☒ Director ☐ 10% Owner
☐ Officer (give title below) ☐ Other (specify below)

ORLANDO, FL 32826

(City) (State) (Zip)

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

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. 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)
				(A) or (D) Code V Amount (D) Price			
Class A Common					875	D	
Class A Common					875	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
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SEC 1474
(9-02)

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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 (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 Security (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Non-qualified stock option	\$ 2.41					11/10/2006 11/10/2015	Class A Common 2
Non-qualified stock option	\$ 2.41					11/10/2007 11/10/2015	Class A Common 2
Non-qualified stock option	\$ 2.41					11/10/2008 11/10/2015	Class A Common 2
Restricted stock unit	\$ 0 ⁽¹⁾					11/10/2006 ⁽³⁾ 11/10/2015	Class A Common 3
Restricted stock unit	\$ 0 ⁽¹⁾					11/10/2007 ⁽³⁾ 11/10/2015	Class A Common 3
Restricted stock unit	\$ 0 ⁽¹⁾					11/10/2008 ⁽³⁾ 11/10/2015	Class A Common 3
Restricted stock unit ⁽²⁾	\$ 0 ⁽¹⁾					10/20/2004 ⁽³⁾ 10/20/2014	Class A Common 6
Restricted stock unit	\$ 0 ⁽¹⁾					10/20/2005 ⁽³⁾ 10/20/2014	Class A Common 2
Restricted stock unit	\$ 0 ⁽¹⁾					10/20/2006 ⁽³⁾ 10/20/2014	Class A Common 2
Restricted stock unit	\$ 0 ⁽¹⁾	10/27/2006		A	3,333	10/27/2007 ⁽³⁾ 10/27/2016	Class A Common 3
Restricted stock unit	\$ 0 ⁽¹⁾	10/27/2006		A	3,333	10/27/2008 ⁽³⁾ 10/27/2016	Class A Common 3
Restricted stock unit	\$ 0 ⁽¹⁾	10/27/2006		A	3,334	10/27/2009 ⁽³⁾ 10/27/2016	Class A Common 3

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

BRUECK STEVEN R J
2603 CHALLENGER TECH CT
SUITE 100
ORLANDO, FL 32826

X

Signatures

/s/ Dr. Steven R. J.
Bruceck

10/31/2006

__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) Restricted stock units convert at a 1-to-1 ratio to Class A Common

(2) Granted as vested in lieu of grant in prior year

(3) The reporting person shall be eligible to electively receive one share of Class A Common for each restricted stock unit at this date subject to continued employment

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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