Edgar Filing: LIGHTPATH TECHNOLOGIES INC - Form 4

LIGHTPATH TECHNOLOGIES INC Form 4 November 09, 2007

FORM	1 4	~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~				~~~	~~~~~~~~~		PPROVAL
. •	Washington, D.C. 20549						N OMB Number:	3235-0287	
Check t if no lou subject Section Form 4 Form 5 obligati may co <i>See</i> Inst 1(b).	nger to 16. or Filed pur ons ntinue.	rsuant to S (a) of the F	CHAN ection	NGES IN SECUI 16(a) of th Jtility Hol	BENEF RITIES ne Securi Iding Cor	ICIAL O' ties Excha	WNERSHIP OF nge Act of 1934, of 1935 or Sectio 940	Estimated burden hou response	irs per
(Print or Type	Responses)								
1. Name and KHAN SO	Address of Reporting DHAIL A	Person <u>*</u>	Symbol	er Name an TPATH T PTH]		-	5. Relationship o Issuer (Che	of Reporting Per eck all applicabl	
(Last) 2603 CHA COURT, S	LLENGER TECH	Middle) I		of Earliest T Day/Year) 2007	ransaction		X Director Officer (giv below)		% Owner er (specify
ORLAND	(Street) O, FL 32826			endment, D onth/Day/Yea	-	l			erson
(City)	(State)	(Zip)	T 1		.	a	Person	e n e ·	
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	-	ed Date, if	3. Transactic Code (Instr. 8)	4. Securit mAcquired Disposed (Instr. 3, 4	ies (A) or of (D)	Securities	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect
Reminder: Re	eport on a separate line	e for each cla	ass of sec	urities bene	Perso inform requir	ns who res nation cont red to resp nys a curre	or indirectly. spond to the colle tained in this form ond unless the fo ntly valid OMB co	n are not rm	SEC 1474 (9-02)
	Tab	le II - Deriv	ative Sec	curities Acc	quired, Dis	posed of, or	Beneficially Owned	1	

(e.g., puts, calls, warrants, options, convertible securities)

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5. Number of	6. Date Exercisable and	7. Title and Am
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transacti	orDerivative	Expiration Date	Underlying Sec

Security (Instr. 3)	or Exercise Price of Derivative Security	an (N	iy Month/Day/Year)	Code (Instr. 8)	Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	(Month/Day/Year)		(Instr. 3 and 4)
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title A o N o
Non-qualified stock option	\$ 2.41					11/10/2006	11/10/2015	Class A Common
Non-qualified stock option	\$ 2.41					11/10/2007	11/10/2015	Class A Common
Non-qualified stock option	\$ 2.41					11/10/2008	11/10/2015	Class A Common
Restricted stock unit	\$ 0 <u>(1)</u>					11/10/2006(2)	11/10/2015	Class A Common
Restricted stock unit	\$ 0 <u>(1)</u>					11/10/2007(2)	11/10/2015	Class A Common
Restricted stock unit	\$ 0 <u>(1)</u>					11/10/2008(2)	11/10/2015	Class A Common \$
Restricted stock unit	\$ 0 <u>(1)</u>					02/09/2006(2)	02/09/2015	Class A Common
Restricted stock unit	\$ 0 <u>(1)</u>					02/09/2007(2)	02/09/2015	Class A Common
Restricted stock unit	\$ 0 <u>(1)</u>					10/27/2007	10/27/2016	Class A Common
Restricted stock unit	\$ 0 <u>(1)</u>					10/27/2008	10/27/2016	Class A Common
Restricted stock unit	\$ 0 <u>(1)</u>					10/27/2009	10/27/2016	Class A Common
Restricted stock unit	\$ 0	11/06/2007		А	10,000	(3)	11/06/2017	Class A Common

Reporting Owners

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
KHAN SOHAIL A 2603 CHALLENGER TECH COURT SUITE 100 ORLANDO, FL 32826	Х					

Signatures

/s/ Sohail Khan

11/09/2007

**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) 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
- (3) These restricted stock units vest over four years.

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.