**ECHELON CORP** Form 4 August 13, 2013

# 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

(Print or Type Responses)

(Last)

1. Name and Address of Reporting Person \*

MOORE ALICIA JAYNE

(Middle)

(First)

550 MERIDIAN AVENUE

SAN JOSE, CA 95126

2. Issuer Name and Ticker or Trading

Symbol

ECHELON CORP [ELON] 3. Date of Earliest Transaction

(Month/Day/Year)

08/12/2013

4. If Amendment, Date Original

Filed(Month/Day/Year)

OMB

Number:

Expires:

response...

Estimated average

burden hours per

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

5. Relationship of Reporting Person(s) to Issuer

below)

(Check all applicable)

Director 10% Owner X\_ Officer (give title Other (specify

Sen. VP & General Counsel

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ 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

(City) (State) (Zip)

(Street)

1. Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) (Instr. 3)

Execution Date, if (Month/Day/Year)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8)

(Instr. 3, 4 and 5)

Code V Amount (D) Price

(A)

5. Amount of Securities Beneficially Owned Following Reported

Transaction(s)

(Instr. 3 and 4)

6. Ownership Form: Direct (D) or Indirect Beneficial (T) (Instr. 4)

Ownership (Instr. 4)

Indirect

7. Nature of

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)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

Conversion or Exercise

3. Transaction Date 3A. Deemed (Month/Day/Year) Execution Date, if

any

4. 5. Number of **Transaction**Derivative Securities Code

6. Date Exercisable and **Expiration Date** (Month/Day/Year)

7. Title and Amoun Underlying Securiti (Instr. 3 and 4)

#### Edgar Filing: ECHELON CORP - Form 4

(Instr. 3)	Price of Derivative Security		(Month/Day/Year)	(Instr. 8)	Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	)			
				Code V	(A) (D	) Date Exercisable	Expiration Date	Title	Amou Numb Share
Performance Shares	<u>(1)</u>	08/12/2013		A	45,000	(2)	08/12/2017	Common Stock	45,0
Employee Stock Option (Right to buy)	\$ 2.24	08/12/2013		A	180,000	(3)	08/12/2023	Common Stock	180,

# **Reporting Owners**

Reporting Owner Name / Address			Relationships	
	Director	10% Owner	Officer	Other

MOORE ALICIA JAYNE 550 MERIDIAN AVENUE SAN JOSE, CA 95126

Sen. VP & General Counsel

## **Signatures**

/s/ Rebecca Baybrook, attorney-in-fact for Alicia Jayne Moore

08/13/2013

\*\*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) Each performance share represents the right to receive one share of the Issuer's Common Stock.
- Pursuant to the Issuer's 1997 Stock Plan (the "Plan") the Reporting Person was granted 45,000 performance shares. 1/4th of such shares will vest on August 12, 2014 and on each one year anniversary thereafter.
- (3) Pursuant to the Plan the Reporting Person was granted an option to buy 180,000 shares of Common Stock. 1/4th of such shares will vest on August 12, 2014 and on each one year anniversary thereafter.

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.

Reporting Owners 2