Edgar Filing: LIGHTPATH TECHNOLOGIES INC - Form 4

LIGHTPATH TECHNOLOGIES INC

Form 4 January 08, 2016

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB 32

OMB APPROVAL

Number: 3235-0287

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if no longer subject to Section 16. Form 4 or Form 5 obligations

Check this box

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

1(b).

(Print or Type Responses)

1 Name and Address of Departing Day

may continue.

See Instruction

| CIPOLLA DOROTHY M Syn | | | 2. Issuer Name and Ticker or Trading Symbol LIGHTPATH TECHNOLOGIES INC [LPTH] | | | | Issuer (Check all applicable) | | |
|--------------------------------------|---|---|---|---------------------------------------|--------|---------------|--|--|---|
| (Last) 2603 CHAL CT, SUITE | LENGER TECH | iddle) 3. Date of (Month/Date of 01/08/20 | • | ınsaction | | | Director X Officer (given below) | | Owner er (specify |
| ORLANDO | (Street) 9, FL 32826 | | ndment, Dat th/Day/Year) | e Original | | | 6. Individual or Jo Applicable Line) _X_ Form filed by Form filed by Person | | rson |
| (City) | (State) (Z | Zip) Table | e I - Non-De | erivative S | Securi | ties Acq | quired, Disposed o | f, or Beneficial | ly Owned |
| 1.Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transactio Code (Instr. 8) | 4. Securition(A) or Di (D) (Instr. 3, | spose | d of 5) Price | 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 | 01/08/2016 | | P | 512 (1) | A | \$ 2.55 | 512 | D | |

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

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SEC 1474

(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

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| 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. onNumber of Derivative Securities Acquired (A) or Disposed of (D) | | ate | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | of ng s | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr |
|---|---|---|---|---|---|---------------------|--------------------|---|---------------|---|---|
| | | | | Code V | (Instr. 3, 4, and 5) (A) (D) | Date Exercisable | Expiration Date | or Title Nu of | umber | | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | | |
|--|---------------|-----------|---------|-------|--|--|--|
| F • · · · · · · · · · · · · · · · · · · | Director | 10% Owner | Officer | Other | | | |
| CIPOLLA DOROTHY M 2603 CHALLENGER TECH CT SUITE 100 ORLANDO, FL 32826 | | | CFO | | | | |

Signatures

Reporting Person

/s/Dorothy M
Cipolla

**Signature of 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) These shares were acquired under the Employee Stock Purchase Plan.

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.

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