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ADESTO TECHNOLOGIES Corp

Form 3

October 26, 2015

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

OMB APPROVAL

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INITIAL STATEMENT OF 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)

1. Name and Address of Reporting Person *

Statement

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

ADESTO TECHNOLOGIES Corp [IOTS]

À HARRIS & HARRIS GROUP

(Month/Day/Year) 10/26/2015

INC/NY/ (Last)

(City)

(Instr. 4)

1. Title of Security

24

(Middle)

4. Relationship of Reporting

Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

1450 BROADWAY, FLOOR

(First)

(Check all applicable)

6. Individual or Joint/Group

(Street)

__X__ 10% Owner _X__ Director Officer Other (give title below) (specify below)

Filing(Check Applicable Line) Form filed by One Reporting

Person

X Form filed by More than One

Reporting Person

NEW YORK. NYÂ 10018

(State) (Zip)

Table I - Non-Derivative Securities Beneficially Owned

2. Amount of Securities Beneficially Owned

(Instr. 4)

3. 4. Nature of Indirect Beneficial

Ownership Ownership Form: (Instr. 5)

Direct (D) or Indirect (I)

(Instr. 5)

Reminder: Report on a separate line for each class of securities beneficially

owned directly or indirectly.

SEC 1473 (7-02)

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.

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

1. Title of Derivative Security (Instr. 4)

2. Date Exercisable and **Expiration Date**

3. Title and Amount of Securities Underlying Derivative Security

4. Conversion or Exercise Price of

5. Ownership Form of

Derivative

6. Nature of Indirect Beneficial Ownership (Instr. 5)

(Instr. 4)

Expiration Title Amount or Number of Derivative Security: Security Direct (D)

Date Exercisable

(Month/Day/Year)

Date

1

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				Shares		or Indirect (I) (Instr. 5)	
Series A Preferred Stock	(1)	(1)	Common Stock	198,412	\$ 0 (1)	D (2)	Â
Series B Preferred Stock	(1)	(1)	Common Stock	180,375	\$ 0 (1)	D (2)	Â
Series C Preferred Stock	(1)	(1)	Common Stock	64,308	\$ 0 (1)	D (2)	Â
Series D Preferred Stock	(3)	(3)	Common Stock	44,438	\$ 0 (3)	D (2)	Â
Series D-1 Preferred Stock	(1)	(1)	Common Stock	29,930	\$ 0 (1)	D (2)	Â
Series E Preferred Stock	(4)	(4)	Common Stock	106,326	\$ 0 (4)	D (2)	Â

Reporting Owners

Reporting Owner Name / Address	Relationships				
	Director	10% Owner	Officer	Other	
HARRIS & HARRIS GROUP INC /NY/ 1450 BROADWAY FLOOR 24 NEW YORK, NY 10018	ÂX	ÂΧ	Â	Â	
Andreev Alexei A C/O HARRIS & HARRIS GROUP 1450 BROADWAY, 24TH FLOOR NEW YORK, NY 10018	ÂX	ÂX	Â	Â	

Signatures

/s/ Harris & Harris Group, Inc. by Ron Shelton,
Attorney-in-Fact

**Signature of Reporting Person

Date

/s/ Alexei Andreev by Ron Shelton, Attorney-in-Fact

**Signature of Reporting Person

Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, see Instruction 5(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).
- Each share of Series A Preferred Stock, Series B Preferred Stock, Series C Preferred Stock and Series D-1 Preferred Stock will be
 (1) automatically converted into one (1) share of Common Stock, for no additional consideration, immediately prior to the consummation of the Issuer's initial public offering, and has no expiration date.
- (2) The securities are held directly by Harris & Harris Group, Inc. ("Harris & Harris"). Alexei Andreev is an executive vice president and managing director of Harris & Harris and a director of the Issuer.

Reporting Owners 2

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- (3) Each share of Series D Preferred Stock will be automatically converted into 1.0330576 shares of Common Stock, for no additional consideration, immediately prior to the consummation of the Issuer's initial public offering, and has no expiration date.
- (4) Each share of Series E Preferred Stock will be automatically converted into 9.8841 shares of Common Stock, for no additional consideration, immediately prior to the consummation of the Issuer's initial public offering, and has no expiration date.

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.