Edgar Filing: LUNA INNOVATIONS INC - Form 3

LUNA INNOVATIONS INC

Form 3 June 02, 2006

FORM 3

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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

OMB APPROVAL

OMB Number:

3235-0104

Expires:

January 31, 2005

0.5

Estimated average burden hours per

response...

SECURITIES

Section 17(a) of the Public Utility Holding Company Act of 1935 or Section

30(h) of the Investment Company Act of 1940

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,

(Print or Type Responses)

1. Name and Address of Reporting

Person *

 ANDERSON N LEIGH

(Last)

(First)

(Middle)

Statement

(Month/Day/Year)

06/02/2006

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol LUNA INNOVATIONS INC [LUNA]

> 4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

C/O LUNA INNOVATIONS **INCORPORATED, Â 2851** COMMERCE STREET

(Street)

(Check all applicable) 10% Owner _X_ Director

Officer _Other (give title below) (specify below)

6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

BLACKSBURG, Â VAÂ 24060

(City) (State) (Zip)

1. Title of Security (Instr. 4)

2. Amount of Securities Beneficially Owned

(Instr. 4)

3. Ownership

Table I - Non-Derivative Securities Beneficially Owned

4. Nature of Indirect Beneficial 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** (Month/Day/Year)

Exercisable

3. Title and Amount of Securities Underlying **Derivative Security**

4. 5. Conversion Ownership or Exercise Form of

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

(Instr. 4) Expiration

Date

Title

Amount or Number of

Derivative Security: Derivative Security Direct (D)

Price of

Edgar Filing: LUNA INNOVATIONS INC - Form 3

Shares or Indirect (I) (Instr. 5)
Employee Stock Option (right to buy) $\hat{A} \stackrel{(1)}{=} 03/14/2016 \stackrel{Common}{Stock} 56,524 $1.7692 D \hat{A}$

Reporting Owners

Reporting Owner Name / Address

Director 10% Owner Officer Other

ANDERSON N LEIGH

C/O LUNA INNOVATIONS INCORPORATED 2851 COMMERCE STREET

BLACKSBURG, VAÂ 24060

Signatures

/s/ Aaron S. Hullman, Esq.,
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).
- (1) 1/3 of the option shares will become exercisable on March 14, 2007. The remaining option shares are exercisable at a rate of 1/24 per month 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