Edgar Filing: LIGHTPATH TECHNOLOGIES INC - Form 4

LIGHTPATH TECHNOLOGIES INC Form 4 November 02, 2016 FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 Check this box if no longer STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF subject to **SECURITIES** Section 16. Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person * 2. Issuer Name and Ticker or Trading **RIPP ROBERT** Symbol LIGHTPATH TECHNOLOGIES INC [LPTH]

X_ Director (Last) (First) (Middle) 3. Date of Earliest Transaction 10% Owner Officer (give title _ Other (specify (Month/Day/Year) below) below) 2603 CHALLENGER TECH 10/27/2016 CT, SUITE 100 (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) _X_ Form filed by One Reporting Person

ORLANDO, FL 32826

(City)	(State)	(Zip) Tab	ole I - Non-l	Derivative Securit	ties Acquired, Dispose	d of, or Beneficia	lly 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) Code V	4. Securities nAcquired (A) or Disposed of (D) (Instr. 3, 4 and 5) (A) or Amount (D) I	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)

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	2.	3. Transaction Date	3A. Deemed	4.	5. Number of	6. Date Exercisable and	7. Title and Amount	8.
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transacti	orDerivative	Expiration Date	of Underlying	D

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5. Relationship of Reporting Person(s) to

(Check all applicable)

_ Form filed by More than One Reporting

Issuer

Person

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Security (Instr. 3)	or Exercise Price of Derivative Security		any (Month/Day/Year)	Code (Instr. 8)	Securities (Month/Day/Yo Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ear)	Securities (Instr. 3 and	4)	Se (Iı
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Restricted stock unit	\$ 0 <u>(1)</u>	10/27/2016		А	38,462	10/27/2017	(2)	Class A common stock	38,462	

Reporting Owners

Reporting Owner Name / Address				
	Director	10% Owner	Officer	Other
RIPP ROBERT 2603 CHALLENGER TECH CT SUITE 100 ORLANDO, FL 32826	Х			
Signatures				
/s/ Dorothy Cipolla, attorney-in-fact	11	/02/2016		
<u>**</u>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 restricted stock unit represents a contingent right to receive one share of Class A common stock.

The restricted stock units vest equally over a three year period beginning on October 27, 2017. All directors have elected to defer receipt(2) of the shares until they are no longer on the board. Any unvested restricted stock units will immediately vest upon the director leaving the board.

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.