

SONO TEK CORP
Form 4
November 05, 2014

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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)

1. Name and Address of Reporting Person *
Engle Robb William

(Last) (First) (Middle)

164 LUCAS AVENUE

(Street)

KINGSTON, NY 12401

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
SONO TEK CORP [sotk]

3. Date of Earliest Transaction
(Month/Day/Year)
11/03/2014

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

___ Director ___ 10% Owner
X Officer (give title below) ___ Other (specify below)

Vice President

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

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	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 Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
SonoTek Corp Common Stock	11/03/2014		M ⁽¹⁾		10,000	A	\$ 0.49
SonoTek Corp Common Stock	11/03/2014		F ⁽⁴⁾		3,798	D	\$ 1.29
Sono Tek Corp Common Stock	11/03/2014		M ⁽²⁾		20,000	A	\$ 0.61
							11,500
							7,702
							27,702
							D
							D
							D

Edgar Filing: SONO TEK CORP - Form 4

SonoTek Corp Common Stock	11/03/2014	<u>F</u> ⁽⁴⁾	9,457	D	\$ 1.29	18,245	D
SonoTek Corp Common Stock	11/03/2014	<u>M</u> ⁽³⁾	9,000	A	\$ 0.48	27,245	D
SonoTek Corp Common Stock	11/03/2014	<u>F</u> ⁽⁴⁾	3,349	D	\$ 1.29	23,896	D

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

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.

SEC 1474
(9-02)

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

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. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
SonoTek Corp Options	\$ 0.49	11/03/2014		<u>M</u> ⁽¹⁾	10,000	01/08/2010 01/08/2019	Sonotek Corp Common Stock 10,000
SonoTek Corp Options	\$ 0.61	11/03/2014		<u>M</u> ⁽²⁾	20,000	11/08/2013 11/08/2022	SonoTek Corp Common Stock 20,000
SonoTek Corp Options	\$ 0.48	11/03/2014		<u>M</u> ⁽³⁾	9,000	01/24/2014 01/24/2023	SonoTek Corp Common Stock 90,000

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Engle Robb William 164 LUCAS AVENUE KINGSTON, NY 12401			Vice President	

Signatures

Robb William	
Engle	11/05/2014
<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) Reporting person exercised 10,000 options.
- (2) Reporting person exercised 20000 options.
- (3) Reporting person exercised 9000 options.
- (4) Reporting person surrendered SonoTek Corp Common Stock as payment for the exercise of vested options.

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.