

MOORE JAMES J JR  
Form 4  
February 28, 2019

**FORM 4**

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

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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
MOORE JAMES J JR

(Last) (First) (Middle)

C/O ATLANTIC POWER  
CORPORATION, 3 ALLIED  
DRIVE, SUITE 155

(Street)

DEDHAM, MA 02026

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading  
Symbol

ATLANTIC POWER CORP [AT]

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

02/26/2019

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

☐ Director ☐ 10% Owner  
☒ Officer (give title below) ☐ Other (specify  
below)

Chief Executive Officer

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
☒ 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 Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|----------------------------------------------------|--------------------------------|-------------------------------------------------------------------|---------|------------|------------|-----------------------------------------------------------------------------------------------|----------------------------------------------------------|-------------------------------------------------------|
|                                 |                                      |                                                    | Code                           | V                                                                 | Amount  | (A) or (D) | Price      |                                                                                               |                                                          |                                                       |
| Common shares                   | 02/26/2019                           |                                                    | M                              |                                                                   | 128,491 | A          | <u>(1)</u> | 890,174                                                                                       | D                                                        |                                                       |
| Common shares                   | 02/26/2019                           |                                                    | F                              |                                                                   | 64,246  | D          | \$ 2.72    | 890,174                                                                                       | D                                                        |                                                       |
| Common shares                   | 02/26/2019                           |                                                    | M                              |                                                                   | 51,004  | A          | <u>(2)</u> | 890,174                                                                                       | D                                                        |                                                       |
| Common shares                   | 02/26/2019                           |                                                    | F                              |                                                                   | 25,502  | D          | \$ 2.72    | 890,174                                                                                       | D                                                        |                                                       |
| Common shares                   | 02/26/2019                           |                                                    | M                              |                                                                   | 63,571  | A          | <u>(3)</u> | 890,174                                                                                       | D                                                        |                                                       |

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Common shares 02/26/2019 F 31,786 D \$ 2.72 890,174 D

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

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**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 Number of Shares |
| Notional shares                            | (4)                                                    | 02/26/2019                           |                                                    | M                              |                                                                                         |     | 192,737                                                  | (4)              | (4)                                                           | Common shares | 192,737                 |
| Notional shares                            | (5)                                                    | 02/26/2019                           |                                                    | M                              |                                                                                         |     | 76,506                                                   | (5)              | (5)                                                           | Common shares | 76,506                  |
| Notional shares                            | (6)                                                    | 02/26/2019                           |                                                    | M                              |                                                                                         |     | 95,357                                                   | (6)              | (6)                                                           | Common shares | 95,357                  |
| Notional shares                            | (7)                                                    | 02/26/2019                           |                                                    | A                              |                                                                                         |     | 211,397                                                  | (7)              | (7)                                                           | Common shares | 211,397                 |

## Reporting Owners

### Reporting Owner Name / Address

### Relationships

Director 10% Owner Officer Other

MOORE JAMES J JR  
C/O ATLANTIC POWER CORPORATION  
3 ALLIED DRIVE, SUITE 155  
DEDHAM, MA 02026 X

Chief Executive Officer

## Signatures

/s/ John S. Miele,  
attorney-in-fact 02/28/2019

\*\*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).

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- The reporting person acquired shares pursuant to the vesting (disclosed on Table II) of notional shares awarded in 2016. Two thirds of the
- (1) vested notional shares were settled in common shares and one third were settled in cash, which was deposited into the reporting persons applicable payroll tax withholding account.

- The reporting person acquired shares pursuant to the vesting (disclosed on Table II) of notional shares awarded in 2017. Two thirds of the
- (2) vested notional shares were settled in common shares and one third were settled in cash, which was deposited into the reporting persons applicable payroll tax withholding account.

- The reporting person acquired shares pursuant to the vesting (disclosed on Table II) of notional shares awarded in 2018. Two thirds of the
- (3) vested notional shares were settled in common shares and one third were settled in cash, which was deposited into the reporting persons applicable payroll tax withholding account.

- (4) The reporting person vested in respect of 100% of the notional shares granted in 2016.

- (5) The reporting person vested in respect of one third of the notional shares granted in 2017.

- (6) The reporting person vested in respect of one third of the notional shares granted in 2018.

- Represents a grant of notional shares pursuant to the Company's Long-Term Incentive Plan (LTIP) in 2019 in respect of the 2018
- (7) performance year, which will vest ratably with respect to one-third on each of February 28, 2020, February 28, 2021 and February 28, 2022. Under the LTIP, each notional share represents a right to receive one-third in cash, which will be deposited into the reporting persons applicable payroll tax withholding account, and the remainder in common shares.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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