

LUNA INNOVATIONS INC

Form 3

June 05, 2009

FORM 3**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated average
burden hours per
response... 0.5**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 *

Â Froggatt Mark

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

03/16/2009

3. Issuer Name **and** Ticker or Trading Symbol
LUNA INNOVATIONS INC [LUNA]4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

(Check all applicable)

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

Chief Technology Officer

6. Individual or Joint/Group
Filing(Check Applicable Line)☒ Form filed by One Reporting
Person☐ Form filed by More than One
Reporting Person1 RIVERSIDE CIRCLE, SUITE
400

(Street)

ROANOKE,Â VAÂ 24015

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. Title of Security
(Instr. 4)2. Amount of Securities
Beneficially Owned
(Instr. 4)3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)4. Nature of Indirect Beneficial
Ownership
(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)

Date

Exercisable

Expiration

Date

3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)

Title

Amount or
Number of
Shares4. Conversion
or Exercise
Price of
Derivative
Security5. Ownership
Form of
Derivative
Security:
Direct (D)
or Indirect
(I)6. Nature of Indirect
Beneficial
Ownership
(Instr. 5)

(Instr. 5)

Stock Option (Right to Buy / Non-Qualified)	Â <u>(1)</u>	11/01/2013	Common Stock	28,262	\$ 0.3538	D	Â
Stock Option (Right to Buy)	Â <u>(2)</u>	11/11/2015	Common Stock	56,524	\$ 1.769	D	Â
Stock Option (Right to Buy)	Â <u>(3)</u>	02/08/2016	Common Stock	28,262	\$ 1.769	D	Â
Stock Option (Right to Buy)	Â <u>(4)</u>	01/25/2017	Common Stock	1,500	\$ 3.67	D	Â
Stock Option (Right to Buy)	Â <u>(5)</u>	02/27/2017	Common Stock	15,000	\$ 3.69	D	Â
Stock Option (Right to Buy / Non-Qualified)	Â <u>(6)</u>	11/13/2017	Common Stock	23,816	\$ 5.73	D	Â
Employee Stock Option (Right to Buy)	Â <u>(6)</u>	11/13/2017	Common Stock	51,184	\$ 5.73	D	Â
Stock Option (Right to Buy / Non-Qualified)	Â <u>(7)</u>	02/24/2019	Common Stock	83,372	\$ 1.7	D	Â
Stock Option (Right to Buy)	Â <u>(7)</u>	02/24/2019	Common Stock	41,628	\$ 1.7	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Froggatt Mark 1 RIVERSIDE CIRCLE, SUITE 400 ROANOKE, VA 24015	Â	Â	Â Chief Technology Officer	Â

Signatures

/s/ Talfourd H.
Kemper, Jr. 06/05/2009

__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) 25% of the option shares became exercisable one year from the vesting commencement date (11/01/2003). The remaining option shares became exercisable at the rate of 1/48 per month thereafter.
- (2) 50% of the option shares became exercisable one year from the vesting commencement date (9/30/2005). The remaining option shares became exercisable at the rate of 1/36 per month thereafter.
- (3) 25% of the option shares became exercisable one year from the vesting commencement date (2/6/2006). The remaining option shares became exercisable at the rate of 1/36 per month thereafter.
- (4)

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40% of the option shares became exercisable two years from the vesting commencement date (11/16/2006). The remaining option shares became exercisable at the rate of 1/60 per month thereafter.

- (5) 40% of the option shares became exercisable two years from the vesting commencement date (2/27/2007). The remaining option shares become exercisable at the rate of 1/60th per month thereafter.
- (6) 40% of the option shares become exercisable two years from the vesting commencement date (11/13/2007). The remaining option shares become exercisable at the rate of 1/60th per month thereafter.
- (7) 40% of the option shares become exercisable two years from the vesting commencement date (2/24/2009). The remaining option shares become exercisable at the rate of 1/60th 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.

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