

FUEL TECH, INC.  
Form 4  
October 05, 2011

**FORM 4**

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

OMB APPROVAL

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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 \*  
**BAILEY RALPH E**

2. Issuer Name and Ticker or Trading Symbol  
**FUEL TECH, INC. [FTEK]**

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
**120 LONG RIDGE ROAD**  
  
(Street)

3. Date of Earliest Transaction (Month/Day/Year)  
**09/29/2011**

\_\_\_\_ Director  10% Owner  
\_\_\_\_ Officer (give title below)  Other (specify below)

**STAMFORD, CT 06902**

(City) (State) (Zip)

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

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)
Common Stock	09/29/2011		<u>J(1)</u>	V 367,589 A \$ 0	756,046	D	
Common Stock	09/29/2011		<u>J(1)</u>	V 2,286,945 D \$ 0	0	I	See footnote 1
Common Stock	09/29/2011		<u>J(1)</u>	V 1,919,356 A <u>1</u> 2,125,481		I	Owned by Spouse
Common Stock	09/29/2011		<u>G(2)</u>	V 1,919,356 D \$ 0	206,125	I	Owned by Spouse
Common Stock					170,980	I	Owned jointly with

Spouse

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)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned (Instr. 6)
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## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BAILEY RALPH E 120 LONG RIDGE ROAD STAMFORD, CT 06902		X		

## Signatures

Ralph E. Bailey                      10/05/2011  
 \_\_Signature of                      Date  
 Reporting Person

## 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) On September 29, 2011 a family limited liability company, the interests in which company are owned 50% by the reporting person and 50% by the spouse of the reporting person, made a liquidating distribution including Fuel Tech shares. The reporting person held 100% of the voting power over these Fuel Tech shares. 367,589 of the shares and property valued at \$9,295,082 were distributed to the reporting person and 1,919,356 shares were distributed to the spouse of the reporting person.
- (2) Shares transferred by reporting person's spouse to a grantor retained annuity trust ("Spouse's GRAT").

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

## Edgar Filing: FUEL TECH, INC. - Form 4

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