#### Edgar Filing: BSQUARE CORP /WA - Form 3/A

BSQUARE CORP/WA Form 3/A April 30, 2014

### FORM 3

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

OMB APPROVAL

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SECURITIES

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement BSOUARE CORP/WA [BSOR] A Caldwell Scott Bruce (Month/Day/Year) 04/23/2014 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 110 - 110TH AVE., NE, SUITE 04/29/2014 (Check all applicable) 300 (Street) 6. Individual or Joint/Group 10% Owner Director \_X\_\_ Officer \_Other Filing(Check Applicable Line) (give title below) (specify below) \_X\_ Form filed by One Reporting VP WW OEM Sales Person BELLEVUE, WAÂ 98004 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 4. Nature of Indirect Beneficial 1. Title of Security 2. Amount of Securities Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 5) (Instr. 4) Form: Direct (D) or Indirect (I) (Instr. 5) Â 17,832 (1) Common Stock D Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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

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

currently valid OMB control number.

1. Title of Derivative Security (Instr. 4)	rity 2. Date Exercisable and Expiration Date (Month/Day/Year)	3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)	4. Conversion or Exercise Price of Derivative	5. Ownership Form of Derivative Security:	6. Nature of Indirect Beneficial Ownership (Instr. 5)
			Security	Direct (D)	

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	Date Exercisable	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Stock Option (right to buy)	(2)	07/25/2015	Common Stock	1,250	\$ 2.32	D	Â
Stock Option (right to buy)	(3)	12/15/2015	Common Stock	5,000	\$ 3.07	D	Â
Stock Option (right to buy)	(4)	11/13/2016	Common Stock	5,000	\$ 2.17	D	Â
Stock Option (right to buy)	(5)	10/02/2019	Common Stock	10,000	\$ 2.41	D	Â
Stock Option (right to buy)	(6)	01/07/2017	Common Stock	7,500	\$ 3.11	D	Â
Stock Option (right to buy)	(7)	02/26/2024	Common Stock	30,000	\$ 3.32	D	Â

## **Reporting Owners**

Reporting Owner Name / Address	Relationships				
	Director	10% Owner	Officer	Other	
Caldwell Scott Bruce 110 - 110TH AVE., NE, SUITE 300 BELLEVIJE Â WAÂ 98004	Â	Â	VP WW OEM Sales	Â	

### **Signatures**

/s/ Scott Bruce
Caldwell

\*\*Signature of Reporting Person

O4/30/2014

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).
- Includes two Restricted Stock Unit awards as follows: (1) One granted on December 10, 2010 that vests 25% on the first year anniversary of grant date and quarterly in equal installments thereafter over a three year period. This grant is unvested as to 429 shares as
- of the date of this filing. (2) The second granted September 11, 2012 and vests annually in equal installments over a four year period.

  This grant is unvested as to 7,500 shares as of the date of this filing.
- (2) On July 25, 2009 the options became exercisable as to all 1,250 shares.
- (3) On December 15, 2009 the options became exercisable as to all 5,000 shares.
- (4) On November 13, 2010 the options became exercisable as to all 5,000 shares.
- (5) On October 2, 2013 the options became exercisable as to all 10,000 shares.
- (6) Beginning on April 7, 2013 and quarterly thereafter, the option vests in equal amounts over a four year period. As of the date of this filing 2,344 shares have vested.
- (7) On February 26, 2015, 33% vest and thereafter the options vest monthly in equal amounts over a two year period.

Reporting Owners 2

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#### **Remarks:**

This amendment is being filed to include information that was inadvertently omitted from the original 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.