Edgar Filing: Ocean Power Technologies, Inc. - Form 4

Ocean Power Technologies, Inc. Form 4 January 22, 2016

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 OMB APPROVAL Mumber: 3225-0287 Check this box if no longer subject to Section 16. Form 4 or Form 5 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES Statement of the comparison of the comparison of the comparison of the comparison of the company act of 1934, obligations may continue. See Instruction 16(b) State of the company Act of 1935 or Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 10(b) State of the company Act of 1940 0 (Company Act of 1935 or Section 10(b) State of the company Act of 1940 0 (Company Act o	January 22, 2016	6										
OMB 3235-0287 Washington, D.C. 20549 Check this box if no longer subject to Section 16. STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Section 16. Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations may continue. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section addition 10(b). Section 17(a) of the Public Utility Holding Company Act of 1935 or Section see Instruction 1(b). Section 17(a) of the Public Utility Holding Company Act of 1940 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person 1 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) _X Director 	FORM 4						OMB APPROVAL					
if no longer subject to Section 16. STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Section 16. Expires: 2005 Estimated average burden hours per response Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations section 17(a) of the Public Utility Holding Company Act of 1935 or Section 16(b). 0.5 (Print or Type Responses) Section 17(a) of the Investment Company Act of 1940 1(b). 5. Relationship of Reporting Person 1 (Check all applicable) (I ast) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) 0.1/20/2016 -X_Director Worker (give titte integet) 0/0 ohrer (specify below) (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) 6. Individual or Joint/Group Filing(Check Applicable Line) -X_Form filed by One Reporting Person. Ender filed by One Reporting Person	Washin										3235-0287	
obligations may continue. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person * Kirby George H III 2. Issuer Name and Ticker or Trading Symbol Ocean Power Technologies, Inc. [OPTT] 5. Relationship of Reporting Person(s) to Issuer (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) 5. Relationship of Reporting Person(s) to Issuer C/O OCEAN POWER 01/20/2016 -X_ Director (Direct (give title Other (specify below) 00/00 over -X_ Officer (give title Other (specify below) (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) 6. Individual or Joint/Group Filing(Check Applicable Line) -X_ Form filed by One Reporting Person -X_ Form filed by One Reporting Person	if no longer subject to Section 16.	STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP O							NERSHIP OF	Expires: January 3 20 Estimated average burden hours per		
1. Name and Address of Reporting Person ⁺ 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) 5. Relationship of Reporting Person(s) to Issuer C/O OCEAN POWER 3. Date of Earliest Transaction (Month/Day/Year) -X Director10% Owner 10% Owner C/O OCEAN POWER 01/20/2016 -X Officer (give titleOther (specify below)) Other (specify below) REED ROAD (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) 6. Individual or Joint/Group Filing(Check Applicable Line) .X_ Form filed by One Reporting Person -X Form filed by One Reporting Person -X Form filed by One Reporting Person	Form 5 obligations may continue. See Instruction 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											
Kirby George H III Symbol Issuer Symbol Ocean Power Technologies, Inc. [OPTT] (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) X Director 10% Owner C/O OCEAN POWER 01/20/2016 X Officer (give title Other (specify below) Other (specify below) REED ROAD (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) 6. Individual or Joint/Group Filing(Check Applicable Line) Term filed by One Reporting Person Term filed by One Reporting Person	(Print or Type Respo	onses)										
[OPTT] (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) X Director X Officer (give title Other (specify below) C/O OCEAN POWER TECHNOLOGIES, INC., 1590 REED ROAD 01/20/2016 Yresident, CEO (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) 6. Individual or Joint/Group Filing(Check Applicable Line) X_Form filed by One Reporting Person Eorm filed by One Reporting Person	Kirby George H III Symb			Symbol				-	· · · · · · · · · · · · · · · · · · ·			
C/O OCEAN POWER Other (specify below) TECHNOLOGIES, INC., 1590 01/20/2016 (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) A. If Amendment, Date Original Filed(Month/Day/Year) 6. Individual or Joint/Group Filing(Check Applicable Line) X_Form filed by One Reporting Person X_Form filed by One Reporting Person			ower Tec	nnologie	s, inc	с.	(Check all applicable)					
C/O OCEAN POWER 01/20/2016 President, CEO TECHNOLOGIES, INC., 1590 REED ROAD 4. If Amendment, Date Original Filed(Month/Day/Year) 6. Individual or Joint/Group Filing(Check Applicable Line) X_Form filed by One Reporting Person	(Last)	() () CIDURE OF				ansaction			X Officer (give title Other (specify			
Filed(Month/Day/Year) Applicable Line) _X_ Form filed by One Reporting Person	TECHNOLOGIES, INC., 1590)16							
Form filed by More than One Penarting		(Street)	-					Applicable Line) _X_ Form filed by One Reporting Person				
PENNINGTON, NJ 08534	PENNINGTON	I, NJ 08534								Iore than One Re	eporting	
(City)(State)(Zip)Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned	(City)	(State)	(Zip)	Table	e I - Non-D	erivative	Securi	ties Acq	uired, Disposed of	f, or Beneficial	ly Owned	
1.Title of Security (Instr. 3) 2. Transaction Date (Month/Day/Year) 2A. Deemed Execution Date, if any (Month/Day/Year) 3. 4. Securities Acquired Transaction(A) or Disposed of Code 5. Amount of Securities 6. Ownership Form: Direct 7. Nature of Indirect (Instr. 3) any (Month/Day/Year) Code (Instr. 8) (Instr. 3, 4 and 5) Beneficially Owned 10 or Indirect (I) Beneficial Ownership (A) (A) (A) Reported Transaction(s) Transaction(s)	Security (M	(Month/Day/Year) Execution Date, if any		Transaction(A) or Disposed of Code (D) (Instr. 8) (Instr. 3, 4 and 5)				Securities Beneficially Owned Following Reported Transaction(s)	Form: Direct (D) or Indirect (I)	Indirect Beneficial Ownership		
Code V Amount (D) Price $(115tr. 3 and 4)$ Common $01/20/2016$ E $673 (1)$ D $(120/2016)$ E	01	1/20/2016					(D)	\$		D		
Stock 1.63 1.63 1.63 1.63 1.63 1.63 1.63	Stock		for each cl	ass of secu						2		

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 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. Transactio Code (Instr. 8)	5. onNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	Amou Unde Secur	le and ant of rlying ities . 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owno Follo Repo Trans (Instr
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

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Reporting Owners

Reporting Owner Name / Address	Relationships					
F F	Director	10% Owner	Officer	Other		
Kirby George H III C/O OCEAN POWER TECHNOLOGIES, INC. 1590 REED ROAD PENNINGTON, NJ 08534	Х		President, CEO			
Signatures						
lal Coorres II						

/s/ George H 01/22/2016 Kirby III

<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) Represents shares delivered back to the Company for payment of tax liability related to shares that vested.

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.