

Edgar Filing: LIGHTPATH TECHNOLOGIES INC - Form 4

LIGHTPATH TECHNOLOGIES INC

Form 4

October 17, 2002

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FORM 4  
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OMB APPROVAL  
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OMB Number: 3235-0287  
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UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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(f) of the Investment Company Act of 1940

[ ] Check this box if no longer subject of Section 16. Form 4 or Form 5  
obligations may continue. See Instruction 1(b).

=====

1. Name and Address of Reporting Person\*

Leeburg Louis  
-----  
(Last) (First) (Middle)

3819 Osuna NE  
-----  
(Street)

Albuquerque NM 87109  
-----  
(City) (State) (Zip)

=====

2. Issuer Name and Ticker or Trading Symbol  
LPTH

=====

3. I.R.S. Identification Number of Reporting Person, if an entity (Voluntary)

=====

4. Statement for Month/Year  
October 2002

=====

5. If Amendment, Date of Original (Month/Year)

=====

6. Relationship of Reporting Person(s) to Issuer  
(Check all applicable)  
[X] Director [ ] 10% Owner  
[ ] Officer (give title below) [ ] Other (specify below)

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=====

7. Individual or Joint/Group Filing (Check applicable line)

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[x] Form filed by One Reporting Person  
 [ ] Form filed by More Than one Reporting Person

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Form 4 (continued)

Table I -- Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| Title of Security<br>(Instr. 3) | Transaction<br>Date<br>(mm/dd/yy) | Transaction<br>Code | V | Amount<br>or<br>Price<br>(D) | (A) | Price<br>(D) | Amount<br>of<br>Secur-<br>ities<br>Benefi-<br>cial<br>Owned<br>End<br>of Mon<br>(Instr<br>3 and |
|---------------------------------|-----------------------------------|---------------------|---|------------------------------|-----|--------------|-------------------------------------------------------------------------------------------------|
|                                 |                                   |                     |   |                              |     |              |                                                                                                 |
| Class A common stock (1)        | 10/15/02                          | A                   | V | 19,550                       | A   | \$0.         | 33,3                                                                                            |

1) Restrict Stock Award which vests over 2 years.

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

\* If the Form is filed by more than one Reporting Person, see Instruction 4(b)(v).

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.

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Form 4 (continued)

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

| Number<br>of<br>Deriv-<br>ative<br>Secur- | Title and<br>Amount of<br>Underlying |
|-------------------------------------------|--------------------------------------|
| Conver-<br>sion                           |                                      |

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| Title of<br>Derivative<br>Security<br>(Instr. 3) | of     |         |          | ities     |                  |         |         | Securities |        |
|--------------------------------------------------|--------|---------|----------|-----------|------------------|---------|---------|------------|--------|
|                                                  | Exer-  |         |          | Acquired  | Date             |         |         | (Instr. 3  | Price  |
|                                                  | cise   |         | Trans-   | (A) or    | Exercisable and  |         |         | and 4)     | of     |
|                                                  | Price  | Trans-  | action   | Disposed  | Expiration Date  |         |         | -----      | Deriv- |
|                                                  | of     | action  | Code     | of(D)     | (Month/Day/Year) |         |         |            | ative  |
|                                                  | Deriv- | Date    | (Instr.) | (Instr.3, | -----            |         |         |            | Amount |
|                                                  | ative  | (Month/ | 8)       | 4 and 5)  | Date             | Expira- |         |            | or     |
|                                                  | Secur- | Day/    | -----    | -----     | Exer-            | tion    |         |            | Secur- |
|                                                  | ity    | Year)   | Code     | V         | (A)              | (D)     | cisable | Date       | Title  |
|                                                  |        |         |          |           |                  |         |         |            | Shares |
|                                                  |        |         |          |           |                  |         |         |            | (5)    |

-----  
 Stock Option (3)      28.03      10/15/02      D      V      20000      11/01      11/10      Common      20,000

-----  
 Stock Option (3)      9.81      10/15/02      D      V      3000      10/98      10/07      Common      3,000

3) Option cancelled.

Explanation of Responses:

/s/ Louis Leeburg      10/17/02  
 -----  
 \*\*Signature of Reporting Person      Date

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations.  
 See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed.  
 If space provided is insufficient, see Instruction 6 for procedures.  
 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.      Page 3 of 3