## Edgar Filing: Dalhouse Warner - Form 4

January 05, 2012 FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 Check this box if no longer subject to STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Securit of Securit of Securit of Securit of Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations 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 17(a) of the Public Utility Holding Company Act of 1935 or Section 17(a) of the Public Utility Holding Company Act of 1935 or 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 2 2. Issuer Name and Ticker or Trading Symbol LUNA INNOVATIONS INC [LUNA] (Last) (Last) (Link (Middle) 3. Date of Earliest Transaction (Mont/Day/Year) (Joint (Div) (C/O LUNA INNOVATIONS INCORPORATED, 1 RIVERSIDE CIRCLE, SUITE 400 (Steet) 4. If Amendment, Date Original Filed(Mont/Day/Year) Circuits (Steet) 4. If Amendment, Date Original Filed(Mont/Day/Year) Circuits (Steet) 4. If Amendment, Date Original Filed(Mont/Day/Year) Circuits Circuit	Dalhouse W Form 4										
Check this box if in longer subject to subject to section 16.       STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES       Statement Section 16.       Statement Section 17(a) of the Public Utility Holding Company Act of 1935, or Section 17(b).       Statement Section 17(a) of the Public Utility Holding Company Act of 1935, or Section 17(a) of the Public Utility Holding Company Act of 1930.       Statement Section 17(a) of the Public Utility Holding Company Act of 1935, or Section Symbol       Statement LUNA INNOVATIONS INC [LUNA]       Statement Symbol         (Last)       (First)       (Middlo)       3. Date of Earliest Transaction (Month/Day/Year)       Statement Symbol       Statement Section 17(a) Of the Section 10(b)       Statement Section 17(a) Of the Public Utility Holding         (Last)       (First)       (Middlo)       3. Date of Earliest Transaction (Month/Day/Year)       Statement Section 17(b)       Statement Section 10(b)         (City       State       4. If Amendment, Date Original Filed(Month/Day/Year)       6. Individual or Joint/Group Filing(Check Applicable Line) -X_ Form filed by More Reporting Person Person       6. Ownership Original Person Securities       7. Nature of Form: Direct Indirect Person         (City       State       2. Securities any       3. 4. Securities Code <td< td=""><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></td<>											
if no longer subject to Section 16. 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 any continue. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 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 <sup>*</sup> . 2. Issuer Name and Ticker or Trading Symbol LUNA INNOVATIONS INC [LUNA] (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) NCORPORATED, 1 RIVERSIDE CIRCLE, SUITE 400 (State) (Zip) Table 1 - Non-Derivative Securities Acquired, Disposed of, or Beneficially (City) (State) (Zip) Table 1 - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of 2. Transaction Date 2A. Deemed 3. (City) (State) (Zip) Table 1 - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of 2. Transaction Date 2A. Deemed 3. (City) (State) (Zip) Table 1 - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of 2. Transaction Date 2A. Deemed 3. (City) (State) (Zip) Table 1 - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of 2. Transaction Date 2A. Deemed 3. (City) (State) (Zip) (Instr. 3) (Instr. 3, 4 and 5) (Instr. 3, 4 and 5) (Month/Day/Year) (Instr. 4) (Instr. 3) (Instr. 5) (Instr. 6) (Instr. 3, 4 and 5) (Instr. 3 and 4)		UNITED	Washington, D.C. 20549 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								
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1. Name and Address of Reporting Person 1 Dalhouse Warner       2. Issuer Name and Ticker or Trading Symbol LUNA INNOVATIONS INC [LUNA]       5. Relationship of Reporting Person(s) to Issuer         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       Check all applicable)         C/O LUNA INNOVATIONS INCORPORATED, 1 RIVERSIDE CIRCLE, SUITE 400       3. Date of Earliest Transaction (Month/Day/Year)		ruction	30(n) of	t the Ir	ivestment	Compai	ny Act of I	940			
Dalhouse Warner       Symbol LUNA INNOVATIONS INC [LUNA]       Issuer         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       (Check all applicable)         C/O LUNA INNOVATIONS INCORPORATED, 1 RIVERSIDE CIRCLE, SUITE 400       01/03/2012       —	(Print or Type	Responses)									
C/O LUNA INNOVATIONS INCORPORATED, 1 RIVERSIDE       (Month/Day/Year) 01/03/2012       Officer (give titleOther (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 Form filed by One Reporting Person Form filed by More than One Reporting Person         (City)       (State)       (Zip)       Table I - Non-Derivative Securities       Acquired, Disposed of, or Beneficially Owned         1.Title of Security (Instr. 3)       2. Transaction Date (Month/Day/Year)       3.       4. Securities TransactionAcquired (A) or Code       5. Amount of Securities       6. Ownership Form: Direct       7. Nature of Indirect         (Instr. 3)       (Month/Day/Year)       2A. Deemed (Month/Day/Year)       3.       4. Securities TransactionAcquired (A) or Code       5. Amount of Code       6. Ownership Following       6. Ownership Form: Direct       7. Nature of Indirect         (A)       or Code       V Amount       (D)       Price       1. Indirect	Dalhouse Warner S			Symbol LUNA INNOVATIONS INC				Issuer			
Filed(Month/Day/Year)       Applicable Line) _X_Form filed by More Reporting Person Form filed by More than One Reporting Person         (City)       (State)       (Zip)       Table I - Non-Derivative Securities       Securities       S. Amount of Security (Instr. 3)       6. Ownership Form: Direct       7. Nature of Indirect         1. Title of Security (Instr. 3)       2. Transaction Date (Month/Day/Year)       2.A. Deemed Execution Date, if any (Month/Day/Year)       3.       4. Securities Transaction-Acquired (A) or Code       5. Amount of Beneficially (Instr. 3, 4 and 5)       6. Ownership Form: Direct       7. Nature of Form: Direct         (A)       (Month/Day/Year)       (Month/Day/Year)       (Instr. 8)       (Instr. 3, 4 and 5)       0wned       (I)       Ownership Following (Instr. 4)       7. Nature of Form: Direct       Indirect         (A)       or Code V Amount       (D)       Price       (Instr. 4)       (Instr. 4)       (Instr. 4)	C/O LUNA INCORPO	A INNOVATION RATED, 1 RIVE	(I S 0	Month/I	Day/Year)	ransaction		Officer (giv	ve title Oth		
(City)       (State)       (Zip)       Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned         1.Title of Security       2. Transaction Date       2A. Deemed       3.       4. Securities       5. Amount of       6. Ownership       7. Nature of         Instr. 3)       2. Month/Day/Year)       Execution Date, if any       3.       4. Securities       5. Amount of       6. Ownership       7. Nature of         Indirect       Ode       Disposed of (D)       Beneficially       0wned       (I)       Ownership         (Instr. 3)       (Month/Day/Year)       (Month/Day/Year)       6. Ownership       7. Nature of         (Instr. 4)       (Month/Day/Year)       (Instr. 8)       (Instr. 3, 4 and 5)       Owned       (I)       Ownership         (A)       or       Owned       (I)       Ownership       (Instr. 4)       (Instr. 4)         (A)       or       Or       (Instr. 3 and 4)       (Instr. 3 and 4)       (Instr. 3 and 4)	· · · ·			-				Applicable Line)			
1.Title of Security (Instr. 3)       2. Transaction Date (Month/Day/Year)       2A. Deemed Execution Date, if any (Month/Day/Year)       3.       4. Securities TransactionAcquired (A) or Code       5. Amount of Securities       6. Ownership Form: Direct       7. Nature of Indirect         0. Month/Day/Year)       Baneficial (Month/Day/Year)       3.       4. Securities       5. Amount of Securities       6. Ownership Form: Direct       7. Nature of Indirect         0. Month/Day/Year)       Month/Day/Year)       (Instr. 8)       (Instr. 3, 4 and 5)       Owned       (I)       Ownership Following         (A)       Or Code       Or Month       Or Code       Or Month       (Instr. 4)       (Instr. 4)         (A)       Or Code       Or Month       Or Dipore       (Instr. 3 and 4)       (Instr. 3 and 4)	ROANOK	E, VA 24016							More than One R	eporting	
Security (Month/Day/Year) Execution Date, if any Code Disposed of (D) Beneficially (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned (I) Owned (I) Ownership Following (Instr. 4) (Instr. 4) (Instr. 4) Code V Amount (D) Price (Code V Amount (D) Price (Code V Amount (Code V	(City)	(State)	(Zip)	Tab	le I - Non-l	Derivative	Securities A	Acquired, Disposed	of, or Beneficia	lly Owned	
	Security (Month/Day/Year) Execution E (Instr. 3) any		Execution Da any	Date, if TransactionAcquired (A) or Code Disposed of (D) /Year) (Instr. 8) (Instr. 3, 4 and 5) (A) or				Securities Beneficially Owned Following Reported Transaction(s)	Form: Direct (D) or Indirect (I)	Indirect Beneficial Ownership	
	Reminder: Re	port on a separate lin	e for each class	s of secu				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.

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

## Edgar Filing: Dalhouse Warner - Form 4

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	Execution Date, if TransactionDer any Code Sec (Month/Day/Year) (Instr. 8) Acc Dis (Inst		5. Number of orDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	DerivativeExpiration Date (Month/Day/Year)acquired (A) orDisposed of (D)Jinstr. 3, 4, andDisposed of (D)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	(A) (D	) Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Units	<u>(1)</u>	01/03/2012		А	1,524.39 (2)	(3)	(3)	Common Stock	1,524.39

## **Reporting Owners**

Reporting Owner Name / Address	Relationships					
reporting o whet Auno / Aunos	Director	10% Owner	Officer	Other		
Dalhouse Warner C/O LUNA INNOVATIONS INCORPORATED 1 RIVERSIDE CIRCLE, SUITE 400 ROANOKE, VA 24016	Х					
Signatures						
/s/ Talfourd H. Kemper, Jr., Attorney-In-Fact	01/05/20	12				

<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) Stock units are convertible into issuer's common stock on a 1-for-1 basis.

This grant was made pursuant to the issuer's non-employee director compensation policy. Represents \$2,500 awarded to the Reporting Person as a retainer for his service as Chairman of the Compensation Committee of the Board of Directors for the period from January 1,

- (2) 2012 to March 31, 2012. The number of stock units is equal to \$2,500 divided by \$1.64, the closing price of the issuer's common stock on the NASDAQ Capital Market on January 3, 2012, the first trading day of the quarter. The Reporting Person elected to receive Chairman fees in stock units.
- (3) The stock units become issuable in common stock of the issuer at the election of the Reporting Person's termination of service, a change in control of the issuer, an unforeseeable emergency, or a fixed date selected by the Reporting Person.

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.