Edgar Filing: LUNA INNOVATIONS INC - Form 4

Form 4 July 06, 2015 FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 Check this box if no longer subject to Section 16. Form 4 or Form 5 or Form 5 or Form 6 or Form 7 or Form 8 or Form	LUNA INN	OVATIONS INC	1							
FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 OMB APPROVAL Mombre: 3235-0287 Check this box if no longer subject to Section 16. STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES Expires: 2005 Form 4 or Form 5 or Form 5 or Form 5 or May continue. STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 16(b). 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 1940 Section 16(b) (b). Section 17(a) of the Public Utility Holding Company Act of 1940 Section 17(a) of the Public Utility Holding Company Act of 1940 Section 16(b) (b). Wise Michael W. 2. Issuer Name and Ticker or Trading Symbol LUNA INNOVATIONS INC (LUNA] S. Relationship of Reporting Person(s) to Issuer (Lass) (First) (Middle) 3. Lesser Name and Ticker or Trading Symbol S. Relationship of Reporting Person(s) to Issuer (Lass) (First) (Month/Day/Year) Officer (gree tile	Form 4									
Check this box f ino longer subject to Section 16. Form 4 or Form 5 or Form 5 or 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 17(a) of the Public Utility Holding Company Act of 1935 or Section 17(b). S. Relationship of Reporting Person (0.5) 1. Name and Address of Reporting Person (16). Wise Michael W. 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) 5. Relationship of Reporting Person(s) to Issuer (Cop V Aree) (Lin A InnovArtiONS INC (LUNA)	•								0.45	
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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 arg continue. Sec Instruction 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person _ (b). (Print or Type Responses) 1. Name and Address of Reporting Person _ (b). (Print or Type Responses) 1. Name and Address of Reporting Person _ (LUNA) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) C/O LUNA INNOVATIONS INC (LUNA] (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) (Street) 4. If Amendment, Date Original Filed/Month/Day/Year) ROANOKE, VA 24011 (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of 2. Transaction Date 2A. Deemed 3. (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of 2. Transaction Date 2A. Deemed 3. (City) (Month/Day/Year) Code Disposed of (D) Beneficially Owned 1. Title of 2. Transaction Date 2A. Deemed 3. (City) (Month/Day/Year) Code Disposed of (D) Beneficially Owned 1. Title of 2. Transaction Date 2A. Deemed 3. (Code V Amount (D) Price (Instr. 3) and 4) (A) reported (Instr. 4) (Instr. 4) (Instr. 3 and 4)		UNITED	STATES						ONID	
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1. Name and Address of Reporting Person 1 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer Wise Michael W. Symbol LUNA INNOVATIONS INC [LUNA] Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) S. Relationship of Reporting Person(s) to Issuer C/O LUNA INNOVATIONS 07/01/2015	1(b).									
Wise Michael W. Symbol LUNA INNOVATIONS INC [LUNA] INNOVATIONS INC [LUNA] (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) C/O LUNA INNOVATIONS INCORPORATED, 301 1ST STREET SW, SUITE 200 (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of Security (Month/Day/Year) (Month/Day/Year) 2. Transaction Date Security (Month/Day/Year) (Instr. 3) (Month/Day/Year) (Month/Day/Year) (Month/Day/Year) (Month/Day/Year) (Instr. 3) (Instr. 4, 4 and 5) Code V Amount (D) Price (Instr. 3) and 4) (Instr. 4) (Instr. 4) (Instr. 4) (Instr. 4) (Instr. 4) (Instr. 4) (Instr. 4) (Instr. 4) (Instr. 4) (Instr. 4) (Instr. 4) (Instr. 4) (Instr. 4) (Instr. 4) (Instr. 4	(Print or Type	Responses)								
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	Security		Execution l any	d Date, if	3. Transactio Code (Instr. 8)	4. Securit nAcquired Disposed (Instr. 3, 4	ies (A) or of (D) 4 and 5) (A) or	5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I)	7. Nature of Indirect Beneficial Ownership
	Reminder: Rer	port on a separate line	e for each cla	uss of sec				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)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	Execution Date, if TransactiorDerivative any Code Securities (Month/Day/Year) (Instr. 8) Acquired (A) Disposed of (1)		Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and	6. Date Exercisable and Expiration Date (Month/Day/Year)		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>	07/01/2015		А	6,188.11 (2)	(3)	(3)	Common Stock	6,188.11
Stock Units	<u>(1)</u>	07/01/2015		А	742.57 (<u>4)</u>	(3)	(3)	Common Stock	742.57
Stock Units	<u>(1)</u>	07/01/2015		А	742.57 (5)	(3)	(3)	Common Stock	742.57

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Reporting Owners

Reporting Owner Name / Address		Relationships					
	Director	10% Owner	Officer	Other			
Wise Michael W. C/O LUNA INNOVATIONS INCORPORATE 301 1ST STREET SW, SUITE 200 ROANOKE, VA 24011	D _X						
Signatures							
/s/ Scott A. Graeff, Attorney-In-Fact 07/06/	2015						

Date

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

This grant was made pursuant to issuer's non-employee director compensation policy, as compensation for Mr. Wise's service as a member of the board of directors for the period from July 1, 2015 to September 30, 2015. The number units is equal to \$6,250.00 divided

(2) Include of the board of uncertain for the period from sary 1, 2015 to September 50, 2015. The number data is equal to \$5,255.00 divided by \$1.01, the closing price of issuer's common stock on the NASDAQ Capital Market on July 1, 2015, the first trading day of the quarter. The Reporting Person elected to receive fees in stock units.

The stock units become issuable in common stock of the issuer at the election of the Reporting Person upon the earliest to occur of the(3) 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. The units have no expiration date.

This grant was made pursuant to issuer's non-employee director compensation policy, as compensation for his service on the compensation committee of the board of directors for the period from July 1, 2015 to September 30, 2015. The number units is equal to

- (4) Compensation commute of the board of uncertors for the period from sury 1, 2015 to september 50, 2015. The number units is equal to \$750.00 divided by \$1.01, the closing price of issuer's common stock on the NASDAQ Capital Market on July 1, 2015, the first trading day of the quarter. The Reporting Person elected to receive fees in stock units.
- (5) This grant was made pursuant to issuer's non-employee director compensation policy, as compensation for his service on the audit committee of the board of directors for the period from July 1, 2015 to September 30, 2015. The number units is equal to \$750.00 divided by \$1.01, the closing price of issuer's common stock on the NASDAQ Capital Market on July 1, 2015, the first trading day of the quarter.

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The Reporting Person elected to receive fees in stock units.

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.