

BRUECK STEVEN R J
Form 4
August 05, 2011

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
obligations
may continue.
See Instruction
1(b).

**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
30(h) of the Investment Company Act of 1940

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
BRUECK STEVEN R J

2. Issuer Name **and** Ticker or Trading
Symbol
LIGHTPATH TECHNOLOGIES
INC [LPTH]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

2603 CHALLENGER TECH
CT, SUITE 100

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
08/01/2011

☒ Director ☐ 10% Owner
☐ Officer (give title below) ☐ Other (specify below)

ORLANDO, FL 32826

(City) (State) (Zip)

4. If Amendment, Date Original
Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting
Person

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

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Class A Common				(A) or (D)	Price		
			Code	V	Amount		
Class A Common ⁽³⁾	08/01/2011		A	722	A	\$ 2.08	10,702
⁽⁶⁾						0	D ⁽³⁾

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

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information contained in this form are not
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SEC 1474
(9-02)

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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. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Underlying s (Instr. 3 and
						Date Exercisable Expiration Date	Title
				Code V (A) (D)			
Non-qualified stock option	\$ 2.77					11/10/2006 11/10/2015	Class A Common
Non-qualified stock option	\$ 2.77					11/10/2007 11/10/2015	Class A Common
Non-qualified stock option	\$ 2.77					11/10/2008 11/10/2015	Class A Common
Restricted stock unit	\$ 0 ⁽¹⁾					11/10/2006 11/10/2015	Class A Common
Restricted stock unit	\$ 0 ⁽¹⁾					11/10/2007 11/10/2015	Class A Common
Restricted stock unit	\$ 0 ⁽¹⁾					11/10/2008 11/10/2015	Class A Common
Restricted stock unit	\$ 0 ⁽¹⁾					10/20/2004 10/20/2014	Class A Common
Restricted stock unit	\$ 0 ⁽¹⁾					10/20/2005 10/20/2014	Class A Common
Restricted stock unit	\$ 0 ⁽¹⁾					10/20/2006 10/20/2014	Class A Common
Restricted stock unit	\$ 0 ⁽¹⁾					10/27/2007 10/27/2016	Class A Common
Restricted stock unit	\$ 0 ⁽¹⁾					10/27/2008 10/27/2016	Class A Common
Restricted stock unit	\$ 0 ⁽¹⁾					10/27/2009 10/27/2016	Class A Common
Restricted stock unit	\$ 0 ⁽¹⁾					⁽²⁾ 11/06/2017	Class A Common
8% Convertible debenture	\$ 1.54					08/01/2008 08/01/2011	Class A Common
	\$ 1.68					08/01/2008 08/01/2013	

Common stock warrant								Class A Common
Common stock warrant	\$ 1.89				08/01/2008	08/01/2013		Class A Common
Restricted stock unit	\$ 0 ⁽¹⁾				10/30/2009	10/30/2011 ⁽⁴⁾		Class A Common
Common Stock Warrant ⁽⁵⁾	\$ 0.87				12/31/2008	12/31/2013		Class A Common
Restricted Stock Unit	\$ 0				02/04/2010 ⁽⁴⁾	02/04/2013		Class A Common
Restricted stock unit	\$ 0	11/03/2010		A	15,000	11/03/2011 ⁽⁴⁾	11/03/2013	Class A Common

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BRUECK STEVEN R J 2603 CHALLENGER TECH CT SUITE 100 ORLANDO, FL 32826		X		

Signatures

/s/ Dr. Steven R. J.
Brueck

08/05/2011

__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) Restricted stock units convert at a 1-to-1 ratio to Class A Common
- (2) These restricted stock units vest over 4 years.
- (3) These shares are held in the Steven R. J. Cynthia H. Brueck Revocable Trust UTA dtd. 3-14-1991.
- (4) These restricted stock units vest over three years.
- (5) These warrants were issued pursuant to amendment #1 to 8% convertible debentures.
- (6) These shares are an annual interest payment on convertible debentures.

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

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