

Symmons Alan  
Form 4  
October 27, 2017

**FORM 4**

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Symmons Alan

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)  
10/26/2017

\_\_\_\_ Director  
\_\_\_\_ Officer (give title below) \_\_\_\_\_ 10% Owner  
\_\_\_\_ Other (specify below)  
Executive VP- Operations

ORLANDO, FL 32826

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 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) | 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 Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  |                                | (A) or (D)  | Code V Amount (D) Price   |  |                                   |

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

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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 | 2. Conversion | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if | 4. Transaction | 5. Number of Derivative | 6. Date Exercisable and Expiration Date | 7. Title and Amount of Underlying |
|------------------------|---------------|--------------------------------------|-------------------------------|----------------|-------------------------|---|-----------------------------------|
|------------------------|---------------|--------------------------------------|-------------------------------|----------------|-------------------------|---|-----------------------------------|

## Edgar Filing: Symmons Alan - Form 4

| Security (Instr. 3)    | or Exercise Price of Derivative Security | any (Month/Day/Year)      | Code (Instr. 8) | Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | (Month/Day/Year) | Securities (Instr. 3 and 4) |                  |                 |                      |                            |
|------------------------|--|---------------------------|-----------------|---|------------------|-----------------------------|------------------|-----------------|----------------------|----------------------------|
|                        |  |                           | Code            | V   | (A)              | (D)                         | Date Exercisable | Expiration Date | Title                | Amount or Number of Shares |
| Restricted stock unit  | \$ 0 <sup>(1)</sup>                      | 10/26/2017                | A               |   | 9,055            |                             | 10/26/2018       | <sup>(2)</sup>  | Class A common stock | 9,055                      |
| Incentive stock option | \$ 4.24                                  | 10/26/2017 <sup>(3)</sup> | A               |   | 10,284           |                             | 10/26/2018       | 10/26/2027      | Class A common stock | 10,284                     |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |                         |       |
|---|---------------|-----------|-------------------------|-------|
|   | Director      | 10% Owner | Officer                 | Other |
| Symmons Alan<br>2603 CHALLENGER TECH CT<br>SUITE 100<br>ORLANDO, FL 32826 |               |           | Executive VP-Operations |       |

## Signatures

s/s Dorothy M. Cipolla,  
attorney-in-fact

10/27/2017

\_\_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) Each restricted stock unit represents a contingent right to receive one share of Class A common stock.
  - (2) The restricted stock units vest equally over a three year period beginning on October 26, 2018. The restricted stock unit was granted to the reporting person in satisfaction of certain performance criteria being met for the fiscal year ended June 30, 2017.
  - (3) The incentive stock option was granted to the reporting person in satisfaction of certain performance criteria being met for the fiscal year ended June 30, 2017. The incentive stock options vests in three equal installments beginning on October 26, 2018.

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.