

Hencken Frederick S. III
Form 3
April 02, 2019

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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 *

Hencken Frederick S. III
(Last) (First) (Middle)

C/O CAPSTONE TURBINE
CORP., 16640 STAGG ST.

(Street)

VAN NUYS, CA 91406

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)
04/01/2019

3. Issuer Name and Ticker or Trading Symbol
CAPSTONE TURBINE Corp [cpst]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

5. 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 Beneficially Owned

1. Title of Security
(Instr. 4)

2. Amount of Securities Beneficially Owned
(Instr. 4)

3. Ownership Form:
Direct (D)
or Indirect (I)
(Instr. 5)

4. Nature of Indirect Beneficial Ownership
(Instr. 5)

Common Stock

35,837

I By Trust ⁽¹⁾

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

SEC 1473 (7-02)

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

1. Title of Derivative Security
(Instr. 4)

2. Date Exercisable and Expiration Date
(Month/Day/Year)

3. Title and Amount of Securities Underlying Derivative Security
(Instr. 4)
Title

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:
Direct (D)

6. Nature of Indirect Beneficial Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Restricted Stock Unit	Â (2)	Â (2)	Common Stock	30,000	\$ 0	D	Â
Restricted Stock Unit	Â (3)	Â (3)	Common Stock	30,000	\$ 0	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Hencken Frederick S. III C/O CAPSTONE TURBINE CORP. 16640 STAGG ST. VAN NUYS,Â CAÂ 91406	Â	Â	Â Chief Accounting Officer	Â

Signatures

Colby Petersen, Power of Attorney for Frederick Hencken III, Reporting Person 04/02/2019

__Signature of Reporting Person

Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 5(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) These shares are owned directly by the Hencken Family Trust dated March 11, 2018. The Reporting Person and his spouse are trustees of the Hencken Family Trust dated March 11, 2018.
- (2) On November 15, 2017, the Reporting Person was granted 30,000 Restricted Stock Units ("RSUs"). Each RSU represents a contingent right to receive one share of Common Stock. The RSUs vest in equal installments on an annual basis over a four year period ending November 15, 2021, assuming continued employment through the applicable vesting date.
- (3) On October 24, 2018, the Reporting Person was granted 30,000 RSUs. Each RSU represents a contingent right to receive one share of Common Stock. The RSUs vest in equal installments on an annual basis over a four year period ending October 24, 2022, assuming continued employment through the applicable vesting date.

Â

Remarks:

ExhibitÂ 24Â -Â PowerÂ ofÂ Attorney

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.