

Edgar Filing: LIGHTPATH TECHNOLOGIES INC - Form 4

LIGHTPATH TECHNOLOGIES INC

Form 4

March 14, 2003

OMB APPROVAL

FORM 4

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

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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

[] Check this box if no longer subject of Section 16. Form 4 or Form 5
obligations may continue. See Instruction 1(b).

=====

1. Name and Address of Reporting Person*

Brizel Kenneth

(Last) (First) (Middle)

2603 Challenger Tech Ct, Suite 100

(Street)

Orlando FL 32826

(City) (State) (Zip)

=====

2. Issuer Name AND Ticker or Trading Symbol

LPTHD
=====

3. I.R.S. Identification Number of Reporting Person, if an entity (Voluntary)

=====

4. Statement for Month/Day/Year
March 2003
=====

5. If Amendment, Date of Original (Month/Day/Year)

=====

6. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

[] Director [] 10% Owner
[x] Officer (give title below) [] Other (specify below)

President and CEO

=====

Edgar Filing: LIGHTPATH TECHNOLOGIES INC - Form 4

7. Individual or Joint/Group Filing (Check applicable line)
 Form filed by One Reporting Person
 Form filed by More Than one Reporting Person

Page 1 of 3

Form 4 (continued)

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 Secur- ities Beneficially Owned Follow Report Trans- action (Instr 3 and |
|---------------------------------------|--|--|---|--|---|
| Common Stock New | 03/13/03 | | | P 9,000 A \$1.426 | 40,2 |

Page 2 of 3

Form 4 (continued)

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

| 1. Title of Deriv- | 2. Conver- sion of Exer- cise Price of Deriv- | 3. Trans- action Date | 3A. Deemed Execu- tion Date, if any | 4. Trans- action Code (Instr. | 5. Number of Deriv- ative Secur- ities Acquired (A) or Disposed of (D) (Instr.3, | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) Amount or Secur- | 8. Price of Deriv- ative Secur- |
|--------------------------|--|--------------------------------|--|---|---|--|--|--|
|--------------------------|--|--------------------------------|--|---|---|--|--|--|

Edgar Filing: LIGHTPATH TECHNOLOGIES INC - Form 4

| Derivative Security (Instr. 3) | ative Secur-ity | (Month/Day/Year) | (Month/Day/Year) | (8)-----Code\ | 4 and 5) (A) (D) | Date Exer-cisable | Expira-tion Date | Title | Number of Shares | ity (Instr. 5) |
|--------------------------------|-----------------|------------------|------------------|---------------|--------------------|-------------------|------------------|-------|------------------|----------------|
|--------------------------------|-----------------|------------------|------------------|---------------|--------------------|-------------------|------------------|-------|------------------|----------------|

Explanation of Responses:

| | |
|---------------------------------|----------|
| Kenneth Brizel | 03/14/03 |
| ----- | ----- |
| **Signature of Reporting Person | Date |

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