### Edgar Filing: LIQUIDMETAL TECHNOLOGIES INC - Form 4

#### LIQUIDMETAL TECHNOLOGIES INC

Form 4 March 19, 2014

# FORM 4

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

**OMB** 3235-0287

Check this box if no longer subject to Section 16.

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

Number: January 31, Expires:

2005

**OMB APPROVAL** 

Form 4 or Form 5 obligations

may continue.

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

burden hours per response... 0.5

Estimated average

See Instruction 1(b).

Common

Stock

(Print or Type Responses)

03/17/2014

1. Name and Address of Reporting Person * Bromage Bruce		2. Issuer Name and Ticker or Trading Symbol			5. Relationship of Reporting Person(s) to Issuer				
			TECHNOLOGIES	(Check all applicable)					
(Middle)	3. Date of Earliest Transaction (Month/Day/Year)			Director 10% Owner Officer (give title Other (specify					
13740 HARLEIGH COURT		03/17/2014				EVP-Business Development			
(Street)			4. If Amendment, Date Original			6. Individual or Joint/Group Filing(Check			
			·)	Applicable Line)					
					•				
				Person	ii iiied by ivi	iore man one ke	porting		
(Zip)	Tabl	le I - Non-E	Derivative Securities Ac	quired, D	isposed of	, or Beneficiall	y Owned		
Date 2A. Dee	emed	3.	4. Securities Acquired	5. Amo	ount of	6.	7. Nature of		
ar) Execution	on Date, if	Transactio	on(A) or Disposed of (D)	Securi	ties	Ownership	Indirect		
any		Code	(Instr. 3, 4 and 5)	Benefi	cially	Form: Direct	Beneficial		
(Month/	/Day/Year)	(Instr. 8)		Owned	1	(D) or	Ownership		
				Follow	ving	Indirect (I)	(Instr. 4)		
			(A)	Report	ted	(Instr. 4)			
				Transa	action(s)				
	(Middle)  RT  (Zip)  Date 2A. Decar) Execution	Symbol LIQUII INC [Lo  (Middle) 3. Date or  (Month/E RT 03/17/2  4. If Ame Filed(Month)  (Zip) Table  Oate 2A. Deemed ear) Execution Date, if	Symbol LIQUIDMETAL INC [LQMT]  (Middle) 3. Date of Earliest Tr (Month/Day/Year)  RT 03/17/2014  4. If Amendment, Da Filed(Month/Day/Year)  (Zip) Table I - Non-Day  Oate 2A. Deemed 3.  ar) Execution Date, if Transaction any Code	Symbol  LIQUIDMETAL TECHNOLOGIES  INC [LQMT]  (Middle) 3. Date of Earliest Transaction  (Month/Day/Year)  RT 03/17/2014  4. If Amendment, Date Original  Filed(Month/Day/Year)  (Zip) Table I - Non-Derivative Securities Accounts A	Symbol  LIQUIDMETAL TECHNOLOGIES INC [LQMT]  (Middle) 3. Date of Earliest Transaction (Month/Day/Year)  RT 03/17/2014  4. If Amendment, Date Original Filed(Month/Day/Year)  Applicat X_ For —Forr Person  (Zip)  Table I - Non-Derivative Securities Acquired, D Date 2A. Deemed 3. 4. Securities Acquired, D Date 2A. Deemed 3. 4. Securities Acquired Securities Acquired, D Date 2A. Deemed 3. 4. Securities Acquired Securities Acquired (Instr. 3, 4 and 5)  (Month/Day/Year) (Instr. 8)  (A)  Report	Symbol  LIQUIDMETAL TECHNOLOGIES INC [LQMT]  (Middle) 3. Date of Earliest Transaction (Month/Day/Year)  RT 03/17/2014  4. If Amendment, Date Original Filed(Month/Day/Year)  Applicable Line)  X_ Form filed by C  Form filed by M  Person  (Zip)  Table I - Non-Derivative Securities Acquired, Disposed of (Date 2A. Deemed 3. 4. Securities Acquired, Disposed of (Date 2A. Deemed 3. 4. Securities Acquired (A)  EVP-Bus  6. Individual or Jo  Applicable Line)  X_ Form filed by M  Person  (Zip)  Table I - Non-Derivative Securities Acquired, Disposed of (D) Securities (A)  any Code (Instr. 3, 4 and 5) Beneficially (Month/Day/Year) (Instr. 8)  Owned  Following  Reported  Transaction(s)	Symbol LIQUIDMETAL TECHNOLOGIES INC [LQMT]  (Middle) 3. Date of Earliest Transaction (Month/Day/Year)  RT 03/17/2014  4. If Amendment, Date Original Filed(Month/Day/Year)  Applicable Line) X_ Form filed by One Reporting Per Form filed by More than One Reperson  (Zip)  Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficiall Date 2A. Deemed 3. 4. Securities Acquired, Disposed of, or Beneficiall Date 2A. Deemed 3. 4. Securities Acquired 5. Amount of 6.  Bar) Execution Date, if Transaction(A) or Disposed of (D) Securities Ownership any Code (Instr. 3, 4 and 5)  (Month/Day/Year) (Instr. 8)  (Check all applicable (Check all applicable)  Applicable Line)  Sx_ Form filed by One Reporting Per Form filed by More than One Reports of the Company of the Company Securities Acquired Securities Ownership any Code (Instr. 3, 4 and 5)  Reported (Instr. 4)  Transaction(s)		

Code V

M

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

(Instr. 3 and 4)

D

369,308

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

Amount

369,308

(D)

Price

0.08

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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. Transactic Code (Instr. 8)	5. Number of tionDerivative Securities ) Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		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 o Number o Shares
Common Stock	\$ 0.08	03/17/2014		M		369,308	<u>(1)</u>	02/06/2023	Common Stock	1,704,5

# **Reporting Owners**

Reporting Owner Name / Address

Director 10% Owner Officer Other

Bromage Bruce 13740 HARLEIGH COURT SARATOGA, CA 95070

**EVP-Business Development** 

# **Signatures**

/s/ Bruce 03/19/2014 Bromage

\*\*Signature of Date
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).

The shares reported in column 7 will vest over a 5-year period on the following schedule: the shares vest 20% on the first anniversary of (1) the date of grant; with the remaining 80% vesting at 1.666% per consecutive calendar month thereafter through and including the fifth anniversary of the date of grant.

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.

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