

HARSHBARGER R STEPHEN
Form 4
July 16, 2018

FORM 4

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

OMB APPROVAL

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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 *
HARSHBARGER R STEPHEN

2. Issuer Name and Ticker or Trading Symbol
SONO TEK CORP [SOTK]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
ROUTE 22

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
07/12/2018

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

PAWLING, NY 12564

(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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| | | | Code | V | Amount (A) or (D) Price | | |
| Sono-Tek Corp Common Stock | 07/12/2018 | | M | | 36,000 (1) \$ 1.05 | 104,556 | D |
| Sono-Tek Corp Common Stock | 07/12/2018 | | F | | 16,875 (2) \$ 2.24 | 87,681 | D |
| Sono-Tek Corp Common Stock | 07/12/2018 | | M | | 99,000 (3) \$ 0.91 | 186,681 | D |

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Sono-Tek Corp Common Stock 07/12/2018 F 40,219 (4) D \$ 2.24 146,462 D

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 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 Amount of Underlying Securities (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
| | | | | Code | V (A) (D) | Date Exercisable Expiration Date | Title Amount or Number of Shares |
| Sono-Tek Options | \$ 1.05 | 07/12/2018 | | M | 36,000 (1) | 02/20/2015 02/20/2024 | Sono-Tek Common Stock 36,000 |
| Sono-Tek Corp Options | \$ 0.91 | 07/12/2018 | | M | 99,000 (3) | 03/15/2017 07/20/2026 | Sono-Tek Corp Common Stock 99,000 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|-----------|-------|
| | Director | 10% Owner | Officer | Other |
| HARSHBARGER R STEPHEN ROUTE 22 PAWLING, NY 12564 | X | | President | |

Signatures

R. Stephen Harshbarger 07/16/2018

**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) Reporting person exercised 36000 vested options.
- (2) Reporting person surrendered 16875 shares of Sono-Tek corp common stock as payment for the exercise of options.
- (3) Reporting person exercised 99000 vested options.
- (4) Reporting person surrendered 40219 shares of Sono-Tek Corp common stock as payment for the exercise of options.

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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