

LIGHTPATH TECHNOLOGIES INC  
 Form 3  
 May 03, 2016

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

OMB APPROVAL

OMB Number: 3235-0104  
 Expires: January 31, 2015  
 Estimated average burden hours per response... 0.5

**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 *<br>Â Dunham Craig T<br>(Last) (First) (Middle) | 2. Date of Event Requiring Statement<br>(Month/Day/Year)<br>04/28/2016 | 3. Issuer Name and Ticker or Trading Symbol<br>LIGHTPATH TECHNOLOGIES INC [LPTH] | 4. Relationship of Reporting Person(s) to Issuer<br><br>(Check all applicable)<br><br><input checked="" type="checkbox"/> Director <input type="checkbox"/> 10% Owner<br><input type="checkbox"/> Officer <input type="checkbox"/> Other<br>(give title below)    (specify below) | 5. If Amendment, Date Original Filed(Month/Day/Year) |
|--|--|--|---|--|

LIGHTPATH TECHNOLOGIES, INC., Â 2603 CHALLENGER TECH CT, SUITE 100  
 (Street)

ORLANDO, Â FL Â 32826  
 (City) (State) (Zip)

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<br>(Instr. 4) | 2. Amount of Securities Beneficially Owned<br>(Instr. 4) | 3. Ownership Form:<br>Direct (D)<br>or Indirect (I)<br>(Instr. 5) | 4. Nature of Indirect Beneficial Ownership<br>(Instr. 5) |
|------------------------------------|--|---|--|

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

SEC 1473 (7-02)

**Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.**

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

|   |   |  |   |   |  |
|---|---|--|---|---|--|
| 1. Title of Derivative Security<br>(Instr. 4) | 2. Date Exercisable and Expiration Date<br>(Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security<br>(Instr. 4) | 4. Conversion or Exercise Price of Derivative | 5. Ownership Form of Derivative Security: | 6. Nature of Indirect Beneficial Ownership<br>(Instr. 5) |
|---|---|--|---|---|--|

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|                        | Date Exercisable | Expiration Date | Title                | Amount or Number of Shares | Security | Direct (D) or Indirect (I) (Instr. 5) |   |
|------------------------|------------------|-----------------|----------------------|----------------------------|----------|---------------------------------------|---|
| Restricted stock units | 10/29/2016       | Â (1)           | Class A common stock | 33,785                     | \$ 0 (2) | D                                     | Â |
| Restricted stock units | 10/30/2015       | Â (3)           | Class A common stock | 36,500                     | \$ 0 (2) | D                                     | Â |

## Reporting Owners

### Reporting Owner Name / Address

### Relationships

Director 10% Owner Officer Other

Dunham Craig T  
 LIGHTPATH TECHNOLOGIES, INC.  
 2603 CHALLENGER TECH CT, SUITE 100  
 ORLANDO, FL 32826

Â X Â Â Â

## Signatures

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

05/03/2016

\*\*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).

The restricted stock units vest equally over a three-year period beginning on October 29, 2016. Mr. Dunham has elected to defer receipt  
 (1) of the shares until he is no longer on the board of directors. Any unvested restricted stock units will immediately vest upon Mr. Dunham leaving the board.

(2) Each restricted stock unit represents a contingent right to receive one share of Class A common stock.

The restricted stock units vest equally over a three-year period beginning on October 30, 2015. Mr. Dunham has elected to defer receipt  
 (3) of the shares until he is no longer on the board of directors. Any unvested restricted stock units will immediately vest upon Mr. Dunham leaving the board.

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.