Edgar Filing: LIQUIDMETAL TECHNOLOGIES INC - Form 4

LIQUIDMETAL TECHNOLOGIES INC

Form 4

November 15, 2004

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

OMB 3235-0287 Number:

Estimated average

Check this box if no longer subject to Section 16.

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

January 31, Expires: 2005

0.5

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...

See Instruction 1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person * KANG JOHN H

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to Issuer

Symbol

LIQUIDMETAL TECHNOLOGIES INC [LQMT]

(Check all applicable)

(Last) (First) (Middle)

(Street)

(Month/Day/Year) 02/26/2002

X Director X__ 10% Owner X_ Officer (give title _ Other (specify below)

President and CEO

25800 COMMERCENTRE DR., SUITE 100

4. If Amendment, Date Original

3. Date of Earliest Transaction

6. Individual or Joint/Group Filing(Check

Filed(Month/Day/Year)

Applicable Line)

X Form filed by One Reporting Person Form filed by More than One Reporting

T	AKE	FOREST	$C\Lambda$	02630
	AND	CORES I	\ . A	9/1171

(City)	(State)	(Zip) 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)	(A)		5. Amount of Securities Ownership Beneficially Form: Owned Direct (D) Following or Indirect Reported (I) Transaction(s) (Instr. 4)		7. Nature of Indirect Beneficial Ownership (Instr. 4)		
			Code V	Amount	or (D)	Price	(Instr. 3 and 4)			
Common Stock	02/26/2002(1)		S <u>(1)</u>	285,715 (1)	D	\$ 7	454,576	D		
Common Stock	08/06/2002		P	10,000	A	\$ 4.3078	10,000	I	By Trustee	
Common Stock	08/06/2002		P	10,000	A	\$ 4.2965	20,000	I	By Trustee	
Common Stock	08/06/2002		P	10,000	A	\$ 3.9912	30,000	I	By Trustee	
Common Stock	08/06/2002		P	10,000	A	\$ 4	40,000	I	By Trustee	

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Common Stock	08/07/2002	P	600	A	\$ 3.92	40,600	I	By Trustee
Common Stock	08/07/2002	P	1,000	A	\$ 3.95	41,600	I	By Trustee
Common Stock	08/07/2002	P	1,300	A	\$ 3.96	42,900	I	By Trustee
Common Stock	08/07/2002	P	1,400	A	\$ 3.97	44,300	I	By Trustee
Common Stock	08/07/2002	P	3,200	A	\$ 3.98	47,500	I	By Trustee
Common Stock	08/07/2002	P	1,800	A	\$ 3.99	49,300	I	By Trustee
Common Stock	08/07/2002	P	10,700	A	\$ 3.9901	60,000	I	By Trustee
Common Stock	08/08/2002	P	10,800	A	\$ 4.12	70,800	I	By Trustee
Common Stock	08/08/2002	P	12,200	A	\$ 4.25	83,000	I	By Trustee
Common Stock	08/08/2002	P	17,500	A	\$ 4.9	100,500	I	By Trustee
Common Stock	08/08/2002	P	7,500	A	\$ 4.987	108,000	I	By Trustee
Common Stock	08/08/2002	P	5,000	A	\$ 4.92	113,000	I	By Trustee
Common Stock	08/24/2002	J(3)	31,856	D	(3)	0	I	By Trustee
Common Stock	11/06/2002	J(2)	81,144	D	<u>(2)</u>	0	I	By Trustee
Common Stock	01/07/2004	G	7,700	D	\$ 0	3,733,865	D	
Common Stock	01/07/2004	G(4)	7,700 (4)	A	\$ 0	24,700	I	By minor children

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

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.

SEC 1474 (9-02)

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

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1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	isable and	7. Title	and	8. Price of	9. Nu
Derivative	e Conversion	(Month/Day/Year)	Execution Date, if	Transacti	orNumber	Expiration Da	ate	Amoun	nt of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Underl	ying	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivativ	e		Securit	ies	(Instr. 5)	Bene
	Derivative				Securities	S		(Instr. 3	3 and 4)		Own
	Security				Acquired						Follo
	•				(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						
					4, and 5)						
				Code V	(A) (D)	Date	Expiration	Title	Amount		
				Couc v	(11) (D)	Exercisable	Date		or		
						LACICISAUIC	Date		Number		
									of		
									Shares		

Reporting Owners

Reporting Owner Name / Address	Relationships							
•	Director	10% Owner	Officer	Other				
KANG JOHN H								
25800 COMMERCENTRE DR.	X	X	President					
SUITE 100	Λ	Λ	and CEO					
LAKE FOREST, CA 92630								

Signatures

/s/ John H. Kang 11/15/2004 **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).
- This transaction occurred prior to the registrant's initial public offering in May 2002 and also prior to the registrant's 3.1-to-1 reverse **(1)** stock split in April 2002.
- This disposition was made in satisfaction of a personal obligation arising out of the private sale of common stock made on February 26, **(2)** 2002.
- (3) This disposition was made in satisfaction of a personal loan.
- Represents shares gifted to reporting person's minor children by the reporting person himself.

Remarks:

Except for the January 2004 gift transactions, the transactions reflected in this Form 4 occurred in 2002 and are therefore being reported on a late basis.

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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