SEVCON, INC. Form 4 September 10, 2014

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL** OMB

3235-0287 Number:

January 31, Expires: 2005

7. Nature of

Ownership

(Instr. 4)

Indirect

0.5

Estimated average burden hours per response...

if no longer subject to Section 16. Form 4 or Form 5

Check this box

obligations may continue.

See Instruction

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(b).

1. Name and Address of Reporting Person \* Wang Frederick A

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

SEVCON, INC. [SEV]

3. Date of Earliest Transaction

(Check all applicable)

(Last) (First) (Middle)

(Street)

(Month/Day/Year) 09/08/2014

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

Person

155 NORTHBORO ROAD

4. If Amendment, Date Original Filed(Month/Day/Year)

Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

6. Individual or Joint/Group Filing(Check

SOUTHBOROUGH, MA 01772

(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1.Title of 2. Transaction Date 2A. Deemed Security (Instr. 3)

(Month/Day/Year) Execution Date, if (Month/Day/Year)

4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8) (Instr. 3, 4 and 5)

5. Amount of 6. Ownership Securities Form: Direct Beneficially (D) or Indirect Beneficial Owned Following (Instr. 4) Reported

(A) Transaction(s) or (Instr. 3 and 4) Code V Amount (D) Price

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.

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

1. Title of 3. Transaction Date 3A. Deemed 5. Number of 6. Date Exercisable and 7. Title and Amo Derivative Conversion (Month/Day/Year) Execution Date, if TransactionDerivative **Expiration Date** Underlying Secu Security or Exercise Code Securities (Month/Day/Year) (Instr. 3 and 4) (Instr. 3) Price of (Month/Day/Year) (Instr. 8) Acquired (A) or

#### Edgar Filing: SEVCON, INC. - Form 4

	Derivative Security			Dispose (Instr. 3: 5)					
			Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Am or Nu of Sha
Subscription Rights (Right to Buy) (1)	\$ 21.5	09/08/2014	M		8,500	<u>(2)</u>	09/08/2014	Preferred Stock	1,
Subscription Rights (Right to Buy) (1)	\$ 21.5	09/08/2014	M		2,600	(2)	09/08/2014	Preferred Stock	9
Series A Convertible Preferred Stock	\$ 8	09/08/2014	M	1,106		09/08/2014	<u>(4)</u>	Common Stock	3,
Series A Convertible Preferred Stock	\$ 8	09/08/2014	M	338		09/08/2014	<u>(4)</u>	Common Stock	1,

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
. 0	Director	10% Owner	Officer	Other		
Wang Frederick A 155 NORTHBORO ROAD SOUTHBOROUGH, MA 01772	X					

## **Signatures**

Raymond J Thibault
Attorney-In-Fact
09/10/2014

\*\*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).
- The subscription rights reflected on this Form 4 were issued to the reporting person in connection with Sevcon, Inc.'s rights offering, in which Sevcon, Inc. distributed, at no charge, to holders of its common stock, transferable subscription rights to purchase shares of the company's Series A Convertible Preferred Stock.
- (2) Immediately exercisable
- (3) All unexercised rights expired on September 8, 2014

Reporting Owners 2

### Edgar Filing: SEVCON, INC. - Form 4

(4) The Series A Convertible Preferred Stock has no expiration date.

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.