

BRUGGEWORTH ROBERT A

Form 4/A

November 05, 2004

**FORM 4****UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

Check this box  
if no longer  
subject to  
Section 16.  
Form 4 or  
Form 5  
obligations  
may continue.  
See Instruction  
1(b).

**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

## OMB APPROVAL

OMB  
Number: 3235-0287  
Expires: January 31,  
2005  
Estimated average  
burden hours per  
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
BRUGGEWORTH ROBERT A

2. Issuer Name **and** Ticker or Trading  
Symbol  
LIGHTPATH TECHNOLOGIES  
INC [LPTH]

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

(Last) (First) (Middle)

2603 CHALLENGER TECH  
CT., SUITE 100

(Street)

3. Date of Earliest Transaction  
(Month/Day/Year)  
10/20/2004

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

ORLANDO, FL 32826

4. If Amendment, Date Original  
Filed(Month/Day/Year)  
10/22/2004

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
☒ Form filed by One Reporting Person  
☐ Form filed by More than One Reporting  
Person

(City) (State) (Zip)

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

| 1. Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|----------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-------------------------------------------------------------------|
|                                       |                                         |                                                             | Code                                 | V Amount (D) Price                                                         |                                                                                                                    |                                                                      |                                                                   |
| Class A<br>Common                     |                                         |                                                             |                                      |                                                                            | 2,250                                                                                                              | D                                                                    |                                                                   |
| Class A<br>Common <sup>(1)</sup>      |                                         |                                                             |                                      |                                                                            | 125                                                                                                                | D                                                                    |                                                                   |

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

**Persons who respond to the collection of  
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SEC 1474  
(9-02)

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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) |                            |
|--------------------------------------------|--------------------------------------------------------|--------------------------------------|----------------------------------------------------|--------------------------------|-----------------------------------------------------------------------------------------|----------------------------------------------------------|-----------------|---------------------------------------------------------------|----------------------------|
|                                            |                                                        |                                      |                                                    |                                |                                                                                         | Date Exercisable                                         | Expiration Date | Title                                                         | Amount or Number of Shares |
| Restricted stock unit <sup>(4)</sup>       | \$ 0 <sup>(2)</sup>                                    | 10/20/2004                           |                                                    | A                              | 6,000                                                                                   | 10/20/2004 <sup>(3)</sup>                                | 10/20/2014      | Class A Common                                                | 6,000                      |
| Restricted stock unit                      | \$ 0 <sup>(2)</sup>                                    | 10/20/2004                           |                                                    | A                              | 2,850                                                                                   | 10/20/2005 <sup>(3)</sup>                                | 10/20/2014      | Class A Common                                                | 2,850                      |
| Restricted stock unit                      | \$ 0 <sup>(2)</sup>                                    | 10/20/2004                           |                                                    | A                              | 2,850                                                                                   | 10/20/2006 <sup>(3)</sup>                                | 10/20/2014      | Class A Common                                                | 2,850                      |

## Reporting Owners

| Reporting Owner Name / Address                                                     | Relationships |           |         |       |
|------------------------------------------------------------------------------------|---------------|-----------|---------|-------|
|                                                                                    | Director      | 10% Owner | Officer | Other |
| BRUGGEWORTH ROBERT A<br>2603 CHALLENGER TECH CT.<br>SUITE 100<br>ORLANDO, FL 32826 | X             |           |         |       |

## Signatures

Robert A. Bruggeworth  
11/05/2004  
\_\_\_\_\_  
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) Restricted stock award vesting over 2 years
- (2) Restricted stock units convert at a 1-to-1 ratio to Class A Common
- (3) The reporting person shall be eligible to electively receive one share of Class A Common for each restricted stock unit at this date
- (4) Granted as vested in lieu of grant foregone in prior year

**Remarks:**

Amended for correction of typographical error in grant date of restricted stock unit vesting in 2006 (from 10/20/2014 to 10/20/2006).

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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