

HAUCK PAUL A
Form 4
August 15, 2017

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 *
HAUCK PAUL A

2. Issuer Name and Ticker or Trading Symbol
LIQUIDMETAL TECHNOLOGIES INC [LQMT]

5. Relationship of Reporting Person(s) to Issuer
(Check all applicable)
 Director 10% Owner
 Officer (give title below) Other (specify below)
VP-Worldwide Sales & Marketing

(Last) (First) (Middle)
LIQUIDMETAL TECHNOLOGIES, INC., 30452 ESPERANZA
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
08/11/2017

RANCHO SANTA MARGARITA, CA 92688

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

(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)	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
Common Stock	08/11/2017		M		1,000,000	A	\$ 0.14
Common Stock	08/11/2017		M		566,667	A	\$ 0.07
Common Stock	08/11/2017		S		450,000	D	\$ 0.3 (4)
Common Stock	08/14/2017		S		971,177	D	\$ 0.31 (5)

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The option, representing a right to purchase a total of 2,000,000 shares, became exercisable on the first year anniversary of the date of grant, with 20% vesting on such first anniversary. Thereafter, the shares shall vest monthly over 4 years, in equal monthly installments, with the option being 100% vested on the fifth anniversary of such first anniversary.

- (2) The option, representing a right to purchase a total of 2,000,000 shares, became exercisable on the first year anniversary of the date of grant, with 20% vesting on such first anniversary. Thereafter, the shares shall vest monthly over 4 years, in equal monthly amounts, with the option being 100% vested on the fifth anniversary of such first anniversary.

- (3) Shares commence vesting on the on the first year anniversary of the date of grant, with 20% vesting on such first anniversary. Thereafter, the shares shall vest monthly over 4 years, in equal monthly amounts, with the option being 100% vested on the fifth anniversary of such first anniversary.

- (4) The price reported in Column 4 is a weighted average price. The shares were sold in multiple transactions at prices ranging from \$0.30 to \$0.305, inclusive. The Reporting Person undertakes to provide Liquidmetal Technologies Inc. ("the Company"), any security holder of the Company, or the staff of the Securities & Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth herein.

- (5) The price reported in Column 4 is a weighted average price. The shares were sold in multiple transactions at prices ranging from \$0.305 to \$0.316, inclusive. The Reporting Person undertakes to provide the Company, any security holder of the Company, or the staff of the Securities & Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth herein.

- (6) The price reported in Column 4 is a weighted average price. The shares were sold in multiple transactions at prices ranging from \$0.30 to \$0.315, inclusive. The Reporting Person undertakes to provide the Company, any security holder of the Company, or the staff of the Securities & Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth herein.

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.