

Ascent Solar Technologies, Inc.

Form 4

January 05, 2016

**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  
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response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
**MARSH G THOMAS**

(Last) (First) (Middle)

**C/O ASCENT SOLAR  
TECHNOLOGIES, INC., 12300  
GRANT STREET**

(Street)

**THORNTON, CO 80241**

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol  
**Ascent Solar Technologies, Inc.  
[ASTI]**

3. Date of Earliest Transaction  
(Month/Day/Year)  
**01/01/2016**

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

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

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 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 <sup>(1)</sup>	01/01/2016		A		200,000	A	\$ 0
					311,650		D

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  
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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 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)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Own Follo Repor Trans (Instr
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

## Reporting Owners

### Reporting Owner Name / Address

### Relationships

Director    10% Owner    Officer    Other

MARSH G THOMAS  
C/O ASCENT SOLAR TECHNOLOGIES, INC.  
12300 GRANT STREET  
THORNTON, CO 80241

X

## Signatures

/s/ James H. Carroll,  
Attorney-in-Fact

01/05/2016

\_\_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).

Mr. Marsh was granted a total of 500,000 restricted stock units on January 1, 2016 in connection with 2016 board compensation, of which 300,000 restricted stock units are subject to and contingent upon receipt of stockholder approval in accordance with Sections 9 and 10 of the Issuer's Restricted Stock Plan. The Issuer intends to seek such stockholder approval at its 2016 annual stockholders' meeting.

- (1) Restricted stock units reported herein do not include the 300,000 restricted stock units subject to stockholder approval. Each unit represents a contingent right to receive one share of common stock of the Issuer. The aggregate granted 500,000 restricted stock units vest in four equal installments on March 23, 2016, June 23, 2016, September 23, 2016 and December 19, 2016 (subject to the stockholder approval requirement referenced above).

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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