

HARRIS & HARRIS GROUP INC /NY/
 Form 4
 August 07, 2002

FORM 4

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
 Washington, DC 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

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(f) 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)

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|--------------------------------------------------------------|--|--|-----------------------------------------------------------------------------------------|--|--------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|--|-----------------------------------------------------------------------|-----------------------------------------------------------------------------|--|----------------------------------------------------------|--|-------------------------------------------------------|--|
| 1. Name and Address of Reporting Person* Roberts James E. | | | 2. Issuer Name and Ticker or Trading Symbol Harris & Harris Group, Inc. (TINY) | | | 6. Relationship of Reporting Person(s) to Issuer (Check all applicable) <input checked="" type="checkbox"/> Director <input type="checkbox"/> Officer (give title below) <input type="checkbox"/> 10% Owner <input type="checkbox"/> Other (specify below) | | | | | | | | | |
| (Last) (First) (Middle) One Rockefeller Plaza, Suite 1430 | | | 3. I.R.S. Identification Number of Reporting Person, if an entity (voluntary) | | | 4. Statement for Month/Year August 2002 | | | 7. Individual or Joint/Group Filing (Check Applicable Line) | | | | | | |
| (Street) New York, NY 10020 | | | 5. If Amendment, Date of Original (Month/Year) | | | <input checked="" type="checkbox"/> Form filed by One Reporting Person | | | <input type="checkbox"/> 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) | | 3. Transaction Code (Instr. 8) | | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | | | 5. Amount of Securities Beneficially Owned at End of Month (Instr. 3 and 4) | | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | | 7. Nature of Indirect Beneficial Ownership (Instr. 4) | |
| Common Stock | | | 8/2/02 | | X V | | 737 A \$2.25 | | | 15,011 | | D | | | |

| FORM 4 (continued) | | 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) | 4. Transaction Code of (Instr. 3) | | 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. Number of Derivative Securities Beneficially Owned at End of Month (Instr. 4) | 10. Ownership Form of Derivative Securities Beneficially Owned at End of Month (Instr. 4) | 11. Name of Beneficial Owner (Instr. 4) |
| | | | Code | V | | (A) | (D) | Date Exercisable | Expiration Date | | | | |
| Subscription Rights (Right to Buy) | \$2.25 | 8/2/02 | X | V | 737 | IMMED. | 7/26/02 | Common Stock | 737 | | 0 | D | |

Explanation of Responses:

/s/ James E. Roberts August 5, 2002

**Signature of Reporting Person Date
Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

*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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.