

Lough Emily  
Form 3  
January 15, 2019

**FORM 3**

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

OMB APPROVAL

OMB Number: 3235-0104  
Expires: January 31, 2005  
Estimated average burden hours per response... 0.5

**INITIAL STATEMENT OF 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 *	2. Date of Event Requiring Statement	3. Issuer Name <b>and</b> Ticker or Trading Symbol
Â Lough Emily	(Month/Day/Year)	MAXWELL TECHNOLOGIES INC [MXWL]
(Last) (First) (Middle)	01/11/2019	
3888 CALLE FORTUNADA		4. Relationship of Reporting Person(s) to Issuer
(Street)		(Check all applicable)
		<input type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other (give title below) (specify below) VP, General Counsel & Secretary
SAN DIEGO, Â CA Â 92123		5. If Amendment, Date Original Filed (Month/Day/Year)
(City) (State) (Zip)		
		6. Individual or Joint/Group Filing (Check Applicable Line)
		<input checked="" type="checkbox"/> Form filed by One Reporting Person
		<input type="checkbox"/> Form filed by More than One Reporting Person

**Table I - Non-Derivative Securities Beneficially Owned**

1. Title of Security (Instr. 4)	2. Amount of Securities Beneficially Owned (Instr. 4)	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nature of Indirect Beneficial Ownership (Instr. 5)
Common Stock	11,674	D	Â

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

SEC 1473 (7-02)

**Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.**

**Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)	3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)	4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable    Expiration Date	Title    Amount or Number of			

## Edgar Filing: Lough Emily - Form 3

				Shares		(I) (Instr. 5)	
Restricted Stock Units <sup>(1)</sup>	Â <sup>(2)</sup>	Â <sup>(3)</sup>	Common Stock	11,250	\$ 0 <sup>(4)</sup>	D	Â
Market Stock Units <sup>(5)</sup>	Â <sup>(6)</sup>	Â <sup>(3)</sup>	Common Stock	22,500	\$ 0 <sup>(4)</sup>	D	Â
Restricted Stock Units <sup>(1)</sup>	Â <sup>(7)</sup>	Â <sup>(3)</sup>	Common Stock	9,375	\$ 0 <sup>(4)</sup>	D	Â
Market Stock Units <sup>(5)</sup>	Â <sup>(8)</sup>	Â <sup>(3)</sup>	Common Stock	24,376	\$ 0 <sup>(4)</sup>	D	Â
Restricted Stock Units <sup>(1)</sup>	Â <sup>(9)</sup>	Â <sup>(3)</sup>	Common Stock	5,778	\$ 0 <sup>(4)</sup>	D	Â
Market Stock Units <sup>(5)</sup>	Â <sup>(10)</sup>	Â <sup>(3)</sup>	Common Stock	22,865	\$ 0 <sup>(4)</sup>	D	Â
Restricted Stock Units <sup>(1)</sup>	Â <sup>(11)</sup>	Â <sup>(3)</sup>	Common Stock	500	\$ 0 <sup>(4)</sup>	D	Â
Stock Options (Right to Buy)	Â <sup>(12)</sup>	02/10/2020	Common Stock	3,000	\$ 15.71	D	Â
Stock Options (Right to Buy)	Â <sup>(13)</sup>	02/24/2019	Common Stock	1,750	\$ 6.7	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Lough Emily 3888 CALLE FORTUNADA SAN DIEGO, CA 92123	Â	Â	Â VP, General Counsel & Secretary	Â

## Signatures

/s/ Emily Lough 01/15/2019

           \*\*Signature of  
Reporting Person

Date

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, *see* Instruction 5(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) Each restricted stock unit (RSU) represents a right to receive one share of the Issuer's common stock.
- (2) Award vests in annual installments over 4 years following the grant date of February 23, 2018 as long as the holder remains in service to the Company. Vested shares will be delivered to the holder shortly after the vesting date.
- (3) These units do not expire.
- (4) These units were received as a grant or award for no consideration.
- (5) Each market stock unit represents a right to receive one share of the Issuer's common stock.

### Edgar Filing: Lough Emily - Form 3

- (6) This award represents market stock units with vesting based on performance of the Company's common stock compared to the Nasdaq Composite Index over a period of three years following the grant date of February 23, 2018. Depending on the level of performance actually achieved, the number of shares that may vest under this award will vary. The amount included in the table above represents the maximum number of shares that could vest under the grant.
- (7) Award vests in annual installments over 4 years following the grant date of March 2, 2017 as long as the holder remains in service to the Company. Vested shares will be delivered to the holder shortly after the vesting date.
- (8) This award represents market stock units with vesting based on performance of the Company's common stock compared to the Nasdaq Composite Index over a period of three years following the grant date of March 2, 2017. Depending on the level of performance actually achieved, the number of shares that may vest under this award will vary. The amount included in the table above represents the maximum number of shares that could vest under the grant.
- (9) Award vests in annual installments over 4 years following the grant date of January 15, 2016 as long as the holder remains in service to the Company. Vested shares will be delivered to the holder shortly after the vesting date.
- (10) This award represents market stock units with vesting based on performance of the Company's common stock compared to the Nasdaq Composite Index over a period of three years following the grant date of January 15, 2016. Depending on the level of performance actually achieved, the number of shares that may vest under this award will vary. The amount included in the table above represents the maximum number of shares that could vest under the grant.
- (11) Award vests in annual installments over 4 years following the grant date of March 13, 2015 as long as the holder remains in service to the Company. Vested shares will be delivered to the holder shortly after the vesting date.
- (12) Option becomes exercisable in annual installments over 4 years following the grant date of February 10, 2010 as long as holder remains in service to the Company.
- (13) Option becomes exercisable in annual installments over 4 years following the grant date of February 24, 2009 as long as holder remains in service to the Company.

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.