

Edgar Filing: LIGHTPATH TECHNOLOGIES INC - Form 3

LIGHTPATH TECHNOLOGIES INC

Form 3

July 11, 2002

OMB APPROVAL

FORM 3

OMB Number 3235-0104
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U.S. SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

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(f) of the Investment Company Act of 1940

1. Name and Address of Reporting Person

Brizel Ken
(Last) (First) (Middle)

3819 Osuna NE

(Street)

Albuquerque New Mexico 87109
(City) (State) (Zip)

2. Date of Event Requiring Statement (Month/Day/Year)

7-8-02

3. IRS or Social Security Number of Reporting Person (Voluntary)

4. Issuer Name and Ticker or Trading Symbol

LPTH

5. Relationship of Reporting Person to Issuer (Check all applicable)

[X] Director [] 10% Owner
[X] Officer (give title below) [] Other (specify below)

CEO/President

6. If Amendment, Date of Original (Month/Year)

7. Individual or Joint/Group Filing (Check Applicable Line)

[] Form filed by One Reporting Person
[] Form filed by More than One Reporting Person

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FORM 3 (continued)

Table I -- Non-Derivative Securities Beneficially Owned

| 1. Title of Security (Instr. 4) | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownership Form: | | 4. Nature of Indirect Beneficial Ownership (Instr.5) |
|------------------------------------|--|--|--|---|
| | | Direct (D) or Indirect (I) (Instr. 5) | | |
| Common Stock | 100,000(a) | D | | |

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

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 (I) (Instr.5) | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|---|---|-----------------|--|--|--|--|
| | Date | Expiration Date | | | | |
| Stock Option | 7/03 | 7/12 | Common Stock | 300,000 | .81 | D |

Explanation of Responses:

(a) Restricted stock award which vests in 3-4 years.

/s/ Ken Brizel

7/11/02

**Signature of Reporting Person

Date

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).