### Edgar Filing: FORWARD INDUSTRIES INC - Form 3

### FORWARD INDUSTRIES INC Form 3 December 09, 2014 FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION OMB A Washington, D.C. 20549 OMB

## 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

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

(Print or Type Responses)

Person \*

1. Name and Address of Reporting

Neal Robert M			(Month/Day/Year)	FORWARD INDUSTRIES INC [FORD]				
(Last)	(First)	(Middle)	12/05/2014	4. Relationship of Reporting Person(s) to Issuer			5. If Amendment, Date Original Filed(Month/Day/Year)	
C/O FORWARD INDUSTRIES, INC., 477 ROSEMARY AVE. (Street) WEST PALM BEACH, FL 33401				(Check all applicable) <u>X</u> Director <u>10%</u> Owner <u>Officer</u> Other (give title below) (specify below)		Owner r	<ul> <li>6. Individual or Joint/Group</li> <li>Filing(Check Applicable Line)</li> <li>_X_ Form filed by One Reporting</li> <li>Person</li> <li> Form filed by More than One</li> <li>Reporting Person</li> </ul>	
(City)	(State)	(Zip)	Table I -	Non-Derivet	tivo Socuriti	ios Ro	neficially Owned	
1.Title of Sect (Instr. 4)	urity			of Securities	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)		ture of Indirect Beneficial ership	
Reminder: Rep owned directly			ch class of securities benefic	cially S	SEC 1473 (7-02	2)		
	Perso	ns who res	pond to the collection of	f				

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.

Statement

#### 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		4. Conversion or Exercise	Ownership E Form of (	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	(Instr. 4) Title	Amount or Number of Shares	Price of Derivative Security	Derivative Security: Direct (D) or Indirect (I)	

OMB APPROVAL

OMB Number:	3235-0104
Expires:	January 31, 2005
Estimated a	verage
burden hour	rs per
response	0.5

					(Instr. 5)	
Convertible Preferred Stock	08/14/2013 Â ( <u>1)</u>	Forward Industries Common Stock	54,347	\$ 1.84	D	Â

# **Reporting Owners**

<b>Reporting Owner Name / Address</b>		Relationships						
	Director	10% Owner	Officer	Other				
Neal Robert M C/O FORWARD INDUSTRIES, INC. 477 ROSEMARY AVE. WEST PALM BEACH, FL 33401		ÂX	Â	Â	Â			
Signatures								
/s/ Robert M. Neal	12/09/2014							
**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) No expiration date.

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.