Edgar Filing: Dalhouse Warner - Form 4

October 05, 2011 OMB APPROVAL FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 OMB APPROVAL Check this box if no longer subject to Section 16. STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OT SECURITIES Check this box if no longer subject to section 16. STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OT SECURITIES Expires: January 31, Expires: January 31, Month/Day/Yean/ January 31, January 31, January 31, Code V Annouri (D) Price OMB APPROVAL OMB Securities: January 31, January	Dalhouse W Form 4											
Check this box if no longer subject to Section 16. Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1935, obligations may continue. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section any continue. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section solution and Address of Reporting Person. [*] 1. Name and Address of Reporting Person. [*] 2. Issuer Name and Ticker or Trading Symbol LUNA INNOVATIONS INC (LuNA] (Last) (First) (Middle) 3. Date of Earliest Transaction Mont/Day/Year) (Cipt) (State) (Zip) Table 1- Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of 2. Transaction Date, if Carly (State) (Zip) Table 1- Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of 2. Transaction Date, if (Cipt) (State) (Zip) Table 1- Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of 2. Transaction Date, if (Cipt) (State) (Zip) Table 1- Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of 2. Transaction Date, if (Cipt) (State) (Zip) Table 1- Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of 2. Transaction Date, if (Carly (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned (I) Ownership Form Director (Instr. 4)		ЛЛ									APPROVAL	
if no longer subject to Section 16. Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section Section 17(a) of the Public Utility Holding Company Act of 1940 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person [*] . 2. Issuer Name and Ticker or Trading Symbol LUNA INNOVATIONS INC [LUNA] (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) NCORPORATED, 1 RIVERSIDE CIRCLE, SUITE 400 (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) ROANOKE, VA 24016 (City) (State) (Zip) ROANOKE, VA 24016 (City) (State) (Zip) (City) (State) (Zip) (City) (State) (Zip) (City) (State) (Z		UNITED STATES SECURITIES AND EACHANGE COMMISSION						ONID	3235-0287			
1. Name and Address of Reporting Person 1 Dalhouse Warner 2. Issuer Name and Ticker or Trading Symbol LUNA INNOVATIONS INC [LUNA] 5. Relationship of Reporting Person(s) to Issuer (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) Check all applicable) C/O LUNA INNOVATIONS INCORPORATED, 1 RIVERSIDE CIRCLE, SUITE 400 3. Date of Earliest Transaction (Month/Day/Year) X	if no lot subject Section Form 4 Form 5 obligati may cot <i>See</i> Inst	nger to 16. or Filed pu ons ntinue.	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							F Estimated burden ho response.	Expires:January 31, 2005Estimated average burden hours per response0.5	
Dalhouse Warner Symbol Issuer Issuer (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) (Check all applicable) C/O LUNA INNOVATIONS INCORPORATED, 1 RIVERSIDE 10//03/2011	(Print or Type	Responses)										
C/O LUNA INNOVATIONS INCORPORATED, 1 RIVERSIDE CIRCLE, SUITE 400 (Month/Day/Year) 10/03/2011 Image: Constant of the constant of t	Dalhouse Warner Syn LU			Symbol LUNA	Symbol LUNA INNOVATIONS INC				Issuer			
Filed(Month/Day/Year) Applicable Line) _X_Form filed by More Reporting Person Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Applicable Line) _Y_Form filed by More than One Reporting Person 1. Title of Security (Instr. 3) 2. Transaction Date (Month/Day/Year) 2A. Deemed Execution Date, if any (Month/Day/Year) 3. 4. Securities Transaction-Acquired (A) or Code 5. Amount of Disposed of (D) (Instr. 8) 6. Ownership Form: Direct (D) or Indirect 7. Nature of Beneficially (D) or Indirect (A) (Month/Day/Year) (Month/Day/Year) 3. 4. Securities Transaction-Acquired (A) or Code 5. Amount of Disposed of (D) (Instr. 8) 6. Ownership Form: Direct (D) or Indirect 7. Nature of Form: Direct (D) or Indirect (A) (Month/Day/Year) Code V Amount 0. Foilowing (Instr. 4) 6. Ownership (Instr. 4) 7. Nature of Form: Direct (D) or Indirect Indirect Beneficially (Instr. 4) Ownership (Instr. 4) 7. Nature of Foilowing (Instr. 4)	C/O LUNA INCORPO	A INNOVATION RATED, 1 RIVE	S	(Month/	Day/Year)	ransaction			Officer (gi	ive title Ot		
(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of Security 2. Transaction Date 2A. Deemed 3. 4. Securities 5. Amount of 6. Ownership 7. Nature of Instr. 3) 2. Month/Day/Year) Execution Date, if any 3. 4. Securities 5. Amount of 6. Ownership 7. Nature of Indirect Ode Disposed of (D) Beneficially 0wned (I) Ownership (Instr. 3) (Month/Day/Year) (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned (I) Ownership (A) or Code V Amount O Person 7. Nature of	Filed(-				Applicable Line) _X_ Form filed by One Reporting Person			
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	Reminder: Re	port on a separate lin	e for each cla	ass of sec			. ,		or indirectly.			

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 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. Transactio Code (Instr. 8)	5. Number of orDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exerce Expiration D (Month/Day/	ate	7. Title and A Underlying S (Instr. 3 and 4	ecurities
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Units	<u>(1)</u>	10/03/2011		А	721.15 (2)	(3)	(3)	Common Stock	721.15
Stock Units	<u>(1)</u>	10/03/2011		А	2,403.85 (4)	(3)	(3)	Common Stock	2,403.85

Reporting Owners

Reporting Owner Name / Address		Relationships						
	Director	10% Owner	Officer	Other				
Dalhouse Warner C/O LUNA INNOVATIONS INCORPORATED 1 RIVERSIDE CIRCLE, SUITE 400 ROANOKE, VA 24016) X							
Signatures								
Talfourd H. Kemper, Jr., Attorney-In-Fact	0/05/2011							

**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).
- (1) Stock units are convertible into issuer's common stock on a 1-for-1 basis.

This grant was made pursuant to the issuer's non-employee director compensation policy. The Reporting Person earned \$750 in director fees for the prior quarter ended June 30, 2011. The number of stock units is equal to \$750 divided by \$1.04, the closing price of the

- (2) Residual of phot quarter ended sure 50, 2011. The number of stock units is equar to \$750 arriad by \$101, the closing phot of the stock on the NASDAQ Capital Market on October 3, 2011, the first trading day of the most recent quarter. The Reporting Person elected to receive director fees in stock units.
- (3) The stock units become issuable in common stock of the issuer at the election of the Reporting Person's termination of service, a change in control of the issuer, an unforeseeable emergency, or a fixed date selected by the Reporting Person.

This grant was made pursuant to the issuer's non-employee director compensation policy. Represents \$2,500 awarded to the Reporting Person as a retainer for his service as Chairman of the Compensation Committee of the Board of Directors for the period from September

(4) 30, 2011 to December 31, 2011. The Reporting Person has elected to receive such retainer in stock units. The number of stock units is equal to \$2,500 divided by \$1.04, the closing price of the issuer's common stock on the NASDAQ Capital Market on October 3, 2011, the first trading day of the quarter.

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.