#### Edgar Filing: LIGHTBRIDGE Corp - Form 3

LIGHTBRIDGE Corp Form 3 October 29, 2013

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

**OMB APPROVAL** 

**OMB** Number:

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES** 

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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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement LIGHTBRIDGE Corp [LTBR] MARXE AUSTIN W & (Month/Day/Year) 10/22/2013 GREENHOUSE DAVID M (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) C/O SPECIAL SITUATIONS (Check all applicable) FUNDS. 527 MADISON **AVENUE, SUITE 2600** \_\_X\_\_ 10% Owner Director (Street) Officer Other 6. Individual or Joint/Group (give title below) (specify below) Filing(Check Applicable Line) \_X\_ Form filed by One Reporting Person NEW YORK, NYÂ 10022 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 2. Amount of Securities 4. Nature of Indirect Beneficial 1. Title of Security Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (Instr. 5) Common Stock I (1)  $2,378,312 \frac{(1)}{2}$ By Limited Partnerships (1) Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) owned directly or indirectly. Persons who respond to the collection of

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

information contained in this form are not required to respond unless the form displays a

currently valid OMB control number.

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

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	Date Exercisable	Expiration Date	(Instr. 4) Title	Amount or Number of Shares	Price of Derivative Security	Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	
Warrants	07/28/2010(4)	07/27/2017	Common Stock	454,546 (3) (4)	\$ 9	I (3) (4)	By Limited Partnerships (3) (4)
Warrants	04/25/2014(4)	04/25/2021	Common Stock	571,428 (2) (4)	\$ 2.3	I (2) (4)	By Limited Partnerships (2) (4)

## **Reporting Owners**

Reporting Owner Name / Address

Director 10% Owner Officer Other

MARXE AUSTIN W & GREENHOUSE DAVID M C/O SPECIAL SITUATIONS FUNDS 527 MADISON AVENUE, SUITE 2600 NEW YORK. NYÂ 10022

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## **Signatures**

Austin W. 10/29/2013 Marxe

\*\*Signature of Date

Reporting Person

David M. Greenhouse 10/29/2013

\*\*Signature of Date Reporting Person

# **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).

This is a joint filing by Austin W. Marxe (Marxe) and David M. Greenhouse (Greenhouse). They share voting and investment control over all securities owned by Special Situations Fund III QP, L.P. (QP), Special Situations Cayman Fund, L.P. (Cayman) and Special

(1) Situations Private Equity Fund, L.P. (PE). 1,486,442 shares of Common Stock are held by QP, 497,386 shares of Common Stock are held by Cayman, 394,484 shares of Common Stock are held by PE. The interest of Marxe and Greenhouse in the shares of Common Stock owned by QP, Cayman and PE is limited to the extent of his pecuniary interest.

This is a joint filing by Austin W. Marxe (Marxe) and David M. Greenhouse (Greenhouse). They share voting and investment control over all securities owned by Special Situations Fund III QP, L.P (QP), Special Situations Cayman Fund, L.P. (Cayman) and Special

- (2) Situations Private Equity Fund, LP (PE). 357,143 Warrants are owned by QP 120,000 Warrants are owned by Cayman and 94,285 Warrants are owned by PE. The interest of Marxe and Greenhouse in the shares of Warrants owned by QP, Cayman and PE are limited to the extent of his pecuniary interest
  - This is a joint filing by Austin W. Marxe (Marxe) and David M. Greenhouse (Greenhouse). They share voting and investment control over all securities owned by Special Situations Fund III QP, L.P (QP), Special Situations Cayman Fund, L.P. (Cayman) and Special
- (3) Situations Private Equity Fund, LP (PE). 284,091 Warrants are owned by QP, 94,697 Warrants are owned by Cayman and 75,758 Warrants are owned by PE. The interest of Marxe and Greenhouse in the shares of Warrants owned by QP, Cayman and PE are limited to the extent of his pecuniary interest.
- (4) The warrants described above may be exercised to the extent that the total number of shares of Common Stock then beneficially owned does not exceed 4.99% of the outstanding shares. The holder may request an increase of up to 9.99% of the outstanding shares, effective

Reporting Owners 2

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on the 61st day after notice is given 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.