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LIQUIDMETAL TECHNOLOGIES INC

Form 4

March 20, 2014

FORM 4

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

Check this box if no longer subject to Section 16.

Form 4 or

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES**

Form 5 obligations may continue. See Instruction

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

1(b).

(Last)

(Print or Type Responses)

1. Name and Address of Reporting Person * **Chung Tony**

2. Issuer Name and Ticker or Trading

Symbol

LIQUIDMETAL TECHNOLOGIES INC [LQMT]

(Month/Day/Year)

LIQUIDMETAL TECHNOLOGIES, 03/18/2014

Director 10% Owner _X__ Officer (give title Other (specify

5. Relationship of Reporting Person(s) to

(Check all applicable)

Chief Financial Officer

OMB APPROVAL

Estimated average

burden hours per

3235-0287

January 31,

2005

0.5

OMB

Number:

Expires:

response...

INC., 30452 ESPERANZA

(Middle)

(Street)

(First)

4. If Amendment, Date Original

3. Date of Earliest Transaction

Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Applicable Line)

X Form filed by One Reporting Person Form filed by More than One Reporting

Issuer

below)

RANCHO SANTA MARGARITA, CA 92688

(City)	(State)	(Zip) Tab	ole I - Non-	Derivative S	Securi	ties Acquir	ed, Disposed of,	or Beneficiall	y Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securitie oner Dispose (Instr. 3, 4) Amount	d of (Ľ	Price	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock	03/18/2014		S	70,566	D	\$ 0.2866 (1)	1,819,777	D	
Common Stock	03/19/2014		S	494,778	D	\$ 0.277 (2)	1,324,999	D	
Common Stock	03/20/2014		M	200,000	A	\$ 0.086	1,524,999	D	
Common Stock	03/20/2014		M	150,000	A	\$ 0.124	1,674,999	D	

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Common Stock

03/20/2014

M

195,300 A \$ 0.08 1,870,299

D

SEC 1474

(9-02)

Reminder: Report on a separate line for each class of securities beneficially owned directly 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)

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. 5. Number of TransactiorDerivative Code Securities (Instr. 8) Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)		
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount o Number o Shares
Options to Purchase Common Stock	\$ 0.086	03/20/2014		M		200,000	<u>(3)</u>	12/01/2019	Common Stock	200,000
Options to Purchase Common Stock	\$ 0.124	03/20/2014		M		150,000	(3)	07/11/2020	Common Stock	150,000
Options to Purchase Common Stock	\$ 0.08	03/20/2014		M		195,300	<u>(4)</u>	02/06/2023	Common Stock	195,300

Reporting Owners

Reporting Owner Name / Address	Relationships						
reporting of not reality reality	Director	10% Owner	Officer	Other			
Chung Tony LIQUIDMETAL TECHNOLOGIES, INC. 30452 ESPERANZA RANCHO SANTA MARGARITA, CA 92688			Chief Financial Officer				

Reporting Owners 2

Signatures

/s/ Tony Chung 03/20/2014

**Signature of Date
Reporting Person

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).
- The price reported in column 4 is a weighted average price. These shares were purchased in multiple transactions at prices ranging from \$0.275 to \$0.30, inclusive. The reporting person undertakes to provide to Liquidmetal Technologies, Inc., any security holder of Liquidmetal Technologies, Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares purchased at each separate price within the range set forth herein.
- The price reported in column 4 is a weighted average price. These shares were purchased in multiple transactions at prices ranging from \$0.275 to \$0.28, inclusive. The reporting person undertakes to provide to Liquidmetal Technologies, Inc., any security holder of Liquidmetal Technologies, Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares purchased at each separate price within the range set forth herein.
- Options were granted pursuant to the 2002 Equity Incentive Plan and vest in five equal annual installments of 20% beginning one year from the date of grant.
- Options vest over a 5-year period on the following schedule: the shares vest 20% on the first anniversary date of grant, with the remaining 80% vesting at 1.666% per consecutive calendar month thereafter through and including the fifth anniversary of the date of grant.

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.

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