#### Edgar Filing: LIQUIDMETAL TECHNOLOGIES INC - Form 3

#### LIQUIDMETAL TECHNOLOGIES INC

Form 3

March 17, 2016

### FORM 3

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

OMB

Number: 3235-0104

**OMB APPROVAL** 

Expires:

January 31, 2005

0.5

Estimated average burden hours per response...

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

(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 LIQUIDMETAL TECHNOLOGIES INC [LQMT] A Liquidmetal Technology Ltd (Month/Day/Year) 03/10/2016 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 8 FLEMING ROAD, Â ROOM (Check all applicable) 906, TAI TUNG BUILDING (Street) 6. Individual or Joint/Group \_X\_\_ 10% Owner Director Officer Other Filing(Check Applicable Line) (give title below) (specify below) \_X\_ Form filed by One Reporting Person WANCHAI, K3Â 999077 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 4. Nature of Indirect Beneficial 1. Title of Security 2. Amount of Securities Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Â Common Stock, \$0.001 par value per share 105,000,000 D 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 information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

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

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

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	Date Exercisable	Expiration Date	Amount or Number of Shares			or Indirect (I) (Instr. 5)	
Common Stock Purchase Warrant	03/10/2016	03/10/2026	Common Stock, Par Value \$0.001	10,066,809 (1)	\$ 0.07	D	Â

## **Reporting Owners**

Reporting Owner Name / Address	Relationships					
•	Director	10% Owner	Officer	Other		
Liquidmetal Technology Ltd						
8 FLEMING ROAD	â	ÂΧ	Â	Â		
ROOM 906, TAI TUNG BUILDING	А	ΑΛ	А	А		

### **Signatures**

WANCHAI, K3Â 999077

Stephem M. Fleming, as Attorney-in-Fact for Liquidmetal Technology 03/17/2016 Limited

> \*\*Signature of Reporting Person Date

Deletionships

### **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).
- 2,609,913 of the underlying shares of common stock vested as of March 10, 2016. The remaining shares will vest upon the completion of (1) certain additional private financings by Liquidmetal Technology Limited, or a permitted assignee thereof, anticipated to occur within the next 120 days.

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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