

ADVANCED POWER TECHNOLOGY INC

Form 5

February 07, 2003

**FORM 5**

☐ Check box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

☐ Form 3 Holdings Reported

☐ Form 4 Transactions Reported

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

**ANNUAL STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP**

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

OMB APPROVAL

OMB Number: 3235-0362  
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|  |   |   |   |                                    |
|--|---|---|---|------------------------------------|
| 1. Name and Address of Reporting Person<br><br><b>Petersen, James</b><br>(Last) (First) (Middle)<br><br><b>1201 NW Wall St, suite 300</b><br>(Street)<br><br><b>Bend, OR 97702</b><br>(City) (State) (Zip) | 2. Issuer Name and Ticker or Trading Symbol<br><br><b>Advanced Power Technology, Inc. APTI</b><br><br>3. I.R.S. Identification Number of Reporting Person, if an entity (voluntary) | 4. Statement for Month/Year<br><br><b>December/2002</b><br><br>5. If Amendment, Date of Original (Month/Year) | 6. Relationship of Reporting Person(s) to Issuer (Check all applicable) |                                    |
|  |   |   | <input checked="" type="checkbox"/> Director                            | <input type="checkbox"/> 10% Owner |
|  |   |   | Officer (give title below)  | Other (specify below)              |
| 7. Individual or Joint/Group Reporting (check applicable line)   |   |   |   |                                    |
| <input checked="" type="checkbox"/> Form Filed by One Reporting Person   |   |   |   |                                    |

☐ Form Filed by More than One Reporting Person

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially 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. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) |            |       | 5. Amount of Securities Beneficially Owned at the end of Issuer's Fiscal Year (Instr. 3 and 4) | 6. Ownership Form: Direct(D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|--|------------|-------|--|---|---|
|                                 |                                      |  |                                | Amount   | (A) or (D) | Price |  |   |   |

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|                 |  |  |  |  |  |  |       |   |  |
|-----------------|--|--|--|--|--|--|-------|---|--|
| Common<br>Stock |  |  |  |  |  |  | 8,750 | D |  |
|                 |  |  |  |  |  |  |       |   |  |
|                 |  |  |  |  |  |  |       |   |  |
|                 |  |  |  |  |  |  |       |   |  |
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|                 |  |  |  |  |  |  |       |   |  |

\* If the form is filed by more than one reporting person, see instruction 4(b)(v).

**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. Transaction Code (Instr. 8) | 5. Number of Derivative Securities 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) |                            | 8. Price of Derivative Security (Instr. 5) | 9. Number of Derivative Securities Beneficially Owned at End of Year (Instr. 4) | 10. Ownership of Derivative Security: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) |
|--|--|--------------------------------------|--|--------------------------------|--|-----|--|-----------------|---|----------------------------|--|---|---|--|
|  |  |                                      |  |                                | (A)  | (D) | Date Exercisable   | Expiration Date | Title   | Amount or Number of Shares |  |   |   |  |
| 2-Option right to buy (#586)               | \$1.48   |                                      |  |                                |  |     | 1/1/01   | 1/1/10          | Common Stock  | 3,000                      |  | 3,000   | D   |  |
| 3-Option right to buy (#611)               | \$19.50  |                                      |  |                                |  |     | 8/22/01  | 8/22/10         | Common Stock  | 10,500                     |  | 10,500  | D   |  |
| 4-Option right to buy (#632)               | \$12.75  |                                      |  |                                |  |     | 12/27/01   | 12/27/10        | Common Stock  | 16,500                     |  | 16,500  | D   |  |
| 5-Option right to buy (#782)               | \$14.39  |                                      |  |                                |  |     | 8/1/02   | 8/1/11          | Common Stock  | 7,000                      |  | 7,000   | D   |  |
| 6-Option right to buy (#1596)              | \$9.40   | 8/1/02                               |  | A                              |  |     | 8/1/03   | 8/1/12          | Common Stock  | 7,000                      |  | 7,000   | D   |  |
|  |  |                                      |  |                                |  |     |  |                 |   |                            |  |   |   |  |
|  |  |                                      |  |                                |  |     |  |                 |   |                            |  |   |   |  |
|  |  |                                      |  |                                |  |     |  |                 |   |                            |  |   |   |  |
|  |  |                                      |  |                                |  |     |  |                 |   |                            |  |   |   |  |
|  |  |                                      |  |                                |  |     |  |                 |   |                            |  |   |   |  |

Explanation of Responses:

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/s/ JAMES PETERSEN

1/28/03

\*\* Signature of Reporting Person

Date

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations.  
*See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed.  
If space provided is insufficient, *see* Instruction 6 for procedure.

<http://www.sec.gov/divisions/corpfin/forms/form5.htm>

*Last update: 09/03/2002*