

SONO TEK CORP
Form 4
July 25, 2016

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
Form 5
obligations
may continue.
See Instruction
1(b).

**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
30(h) of the Investment Company Act of 1940

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
HARSHBARGER R STEPHEN

(Last) (First) (Middle)

ROUTE 22

(Street)

PAWLING, NY 12564

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol

SONO TEK CORP [SOTK]

3. Date of Earliest Transaction
(Month/Day/Year)

07/21/2016

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify
below)
Pres.

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ 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 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)
			Code	V	Amount	(D)	Price

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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SEC 1474
(9-02)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)**

1. Title of Derivative Security	2. Conversion or Exercise	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any	4. Transaction Code	5. Number of Derivative Securities	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount Underlying Security (Instr. 3 and 4)
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(Instr. 3)	Price of Derivative Security	(Month/Day/Year)	(Instr. 8)	Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)							
			Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amo Num Shar	
Sono-Tek Corp Options	\$ 0.91	07/21/2016	A		100,000 <u>(1)</u>		03/15/2017 ⁽¹⁾	07/20/2026	Sono-Tek Common Stock	100	
Sono-Tek Corp Options	\$ 0.91	07/21/2016	A		100,000 <u>(2)</u>		03/15/2018 ⁽²⁾	07/20/2026	Sono-Tek Corp Common Stock	100	

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
HARSHBARGER R STEPHEN ROUTE 22 PAWLING, NY 12564	X		Pres.	

Signatures

R. Stephen
Harshbarger 07/25/2016

__Signature of Reporting Date
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).

On July 21, 2016, the reporting person was granted an option to purchase 100,000 shares of common stock. If the reporting person is
(1) employed by the issuer on 02/28/2017, the option becomes exercisable in three annual installments on March 15, 2017, March 15, 2018
and March 15, 2019.

On July 21, 2016, the reporting person was granted an option to purchase 100,000 shares of common stock. If the reporting person is
(2) employed by the issuer on 02/28/2018, the option becomes exercisable in three annual installments on March 15, 2018, March 15, 2019
and March 15, 2020.

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

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