**Bagley Stephen James** Form 4 December 22, 2017

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**OMB APPROVAL** OMB

3235-0287 Number: January 31, Expires:

2005 Estimated average

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Check this box if no longer subject to Section 16. Form 4 or

**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).

(Print or Type Responses)

1. Name and Address of Reporting Person \* **Bagley Stephen James** 

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

**CFO** 

SONO TEK CORP [SOTK]

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

Director X\_ Officer (give title below)

10% Owner \_ Other (specify below)

SONO-TEK CORPORATION, 2012 **ROUTE 9W** 

(Street)

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check

Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Filed(Month/Day/Year)

12/21/2017

Person

MILTON, NY 12547

(City)	(State) (Z	Zip) Table	e I - Non-De	erivative S	ecurit	ies Acq	uired, Disposed o	f, or Beneficial	ly 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)	ransaction(A) or Disposed of (D) ode (Instr. 3, 4 and 5) instr. 8)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Sono-Tek Corp Common Stock	12/21/2017		Code V	Amount 10,000 (1)	(A) or (D)	Price \$ 0.91	Transaction(s) (Instr. 3 and 4) 25,681	D	
Sono-Tek Corp Common Stock	12/21/2017		F	4,715 ( <u>2)</u>	D	\$ 1.93	20,966	D	

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

Persons who respond to the collection of **SEC 1474** information contained in this form are not (9-02)

### Edgar Filing: Bagley Stephen James - Form 4

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

1. Titl Deriva Securi (Instr.	ative ity	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 TransactionDerivative Code Securities (Instr. 8) Acquired (A) or Disposed of (D) (Instr. 3, 4,		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)		
					Code V	and 5		Date Exercisable	Expiration Date	Title	Amount or Number of Share
Sono Corp Optio		\$ 0.91	12/21/2017		M		10,000 (1)	03/15/2017	07/20/2026	Sono-Tek Corp Common Stock	10,000

## **Reporting Owners**

rting Owner Name / Address	Relationships
rting Owner Name / Address	Relation

Director 10% Owner Officer Other

Bagley Stephen James SONO-TEK CORPORATION 2012 ROUTE 9W MILTON, NY 12547

**CFO** 

# **Signatures**

Stephen J. 12/22/2017 Bagley

\*\*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).
- (1) Reporting person exercised 10,000 options.
- (2) Reporting person surrendered 4,715 shares of Sono-Tek Corp common stock as payment for the exercise of vested options.

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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