#### Edgar Filing: SUPERCONDUCTOR TECHNOLOGIES INC - Form 4

#### SUPERCONDUCTOR TECHNOLOGIES INC

Form 4

September 27, 2006

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Check this box

if no longer

subject to

Section 16.

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL** 

**OMB** Number:

3235-0287

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January 31, 2005

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Form 4 or Form 5 obligations may continue.

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)

See Instruction

1. Name and Address of Reporting Person \*

LOCKTON JOHN D

5. Relationship of Reporting Person(s) to Issuer

Symbol

**SUPERCONDUCTOR** TECHNOLOGIES INC [SCON]

2. Issuer Name and Ticker or Trading

(Check all applicable)

(Last)

(First)

(Street)

(Middle)

3. Date of Earliest Transaction

\_X\_\_ Director Officer (give title below)

10% Owner Other (specify

460 WARD DRIVE

07/12/2006

(Month/Day/Year)

4. If Amendment, Date Original

Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

(Instr. 4)

Applicable Line)

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

Person

**SANTA** 

BARBARA, CA 93111-2356

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1.Title of Security (Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year)

Execution Date, if

(Month/Day/Year)

4. Securities TransactionAcquired (A) or Code Disposed of (D)

(Instr. 8)

5. Amount of Securities Beneficially Owned

Following

6. Ownership 7. Nature of Form: Direct Indirect (D) or Indirect Beneficial Ownership (I)

(A)

(Instr. 3, 4 and 5)

Reported Transaction(s)

(Instr. 3 and 4) Code V Amount (D) Price

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.

SEC 1474 (9-02)

(Instr. 4)

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

1. Title of Derivative 2. Conversion 3. Transaction Date 3A. Deemed

(Month/Day/Year) Execution Date, if Transaction of

5. Number 6. Date Exercisable and **Expiration Date** 

7. Title and Amou Underlying Securi

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Security (Instr. 3)	or Exercise Price of Derivative Security		any (Month/Day/Year)	Code (Instr. 8)	Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		r)	(Instr. 3 and	4)
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amo or Num of Shar
Non-Qualified Stock Option (right to buy)	\$ 1.43	08/18/2006		A	200	08/18/2007 <u>(1)</u>	08/18/2016	Common Stock	20
Non-Qualified Stock Option (right to buy)	\$ 1.55	09/26/2006		A	200	09/26/2007(1)	09/26/2016	Common Stock	20
Non-Qualified Stock Option (right to buy)	\$ 1.56	08/09/2006		A	200	08/09/2007(1)	08/09/2016	Common Stock	20
Non-Qualified Stock Option (right to buy)	\$ 1.73	07/25/2006		A	200	07/25/2007(1)	07/25/2016	Common Stock	20
Non-Qualified Stock Option (right to buy)	\$ 1.76	07/24/2006		A	200	07/24/2007(1)	07/24/2016	Common Stock	20
Non-Qualified Stock Option (right to buy)	\$ 1.8	07/12/2006		A	200	07/12/2006 <u>(1)</u>	07/12/2016	Common Stock	20

# **Reporting Owners**

\*\*Signature of Reporting Person

	Relationships				
Reporting Owner Name / Address	Director	10% Owner	Officer	Other	
LOCKTON JOHN D 460 WARD DRIVE SANTA BARBARA, CA 93111-2356	X				
Signatures					
By: William Buchanan For: John D. Lockton		09/27/2	006		

Reporting Owners 2

Date

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## **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) Grant vesting 50% on the first anniversary, with the remaining 50% vesting on the second anniversary.

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.