Russell Kevin Thomas Form 4 April 04, 2013

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB** Number:

3235-0287

Expires:

January 31, 2005

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**OMB APPROVAL** 

response...

if no longer subject to Section 16. Form 4 or Form 5

Check this box

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).

(Last)

(City)

(Print or Type Responses)

1. Name and Address of Reporting Person \* Russell Kevin Thomas

2. Issuer Name and Ticker or Trading Symbol

AWARE INC /MA/ ["AWRE"]

Issuer

(First)

3. Date of Earliest Transaction

(Check all applicable)

5. Relationship of Reporting Person(s) to

(Month/Day/Year) C/O AWARE INC, 40 MIDDLESEX 04/02/2013

(Middle)

(Zip)

\_X\_\_ Director X\_ Officer (give title Other (specify below)

6. Individual or Joint/Group Filing(Check

**TURNPIKE** 

(State)

Int co-CEO & co-Pres, Gen Co

10% Owner

(Street)

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

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

D

Person

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

BEDFORD, MA 01730

1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired 5. Amount of 6. Ownership 7. Nature of Security (Month/Day/Year) Execution Date, if Transaction(A) or Disposed of Securities Form: Direct Indirect (Instr. 3) any Code (D) Beneficially (D) or Beneficial Indirect (I) Ownership (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned Following (Instr. 4) (Instr. 4) Reported

(A) Transaction(s) or (Instr. 3 and 4)

Code V Amount (D) Price

Common 04/02/2013 M 1.500 82,686 Stock

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)

#### Edgar Filing: Russell Kevin Thomas - Form 4

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. Transactic Code (Instr. 8)	tionDerivative Expi Securities (Mon		Expiration D	Date Exercisable and piration Date onth/Day/Year)		7. Title and Amou Underlying Secur (Instr. 3 and 4)	
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Am or Nui of S	
Unrestricted Stock Award	\$ 0	04/02/2013		A	25,000		<u>(1)</u>	<u>(1)</u>	Common Stock	25	
Stock Option (right to buy)	\$ 3.77	04/02/2013		M		1,500	(2)	02/20/2018	Common Stock	1,	
Stock Option (right to buy)	\$ 4.64						<u>(3)</u>	12/05/2017	Common Stock	12	
Stock Option (right to buy)	\$ 5.05						<u>(4)</u>	12/04/2013	Common Stock	12	

## **Reporting Owners**

Reporting Owner Name / Address	Relationships						
·r· · · · · · · · · · · · · · · · · · ·	Director	10% Owner	Officer	Other			
Russell Kevin Thomas C/O AWARE INC 40 MIDDLESEX TURNPIKE BEDFORD, MA 01730	X		Int co-CEO & co-Pres, Gen Co				

## **Signatures**

/s/ Kevin T.
Russell

\*\*Signature of Reporting Person

O4/04/2013

# **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).
- Shares of unrestricted stock awarded to reporting person under Aware, Inc. 2001 Nonqualified Stock Plan. The shares will be issued as (1) follows; 12,500 shares on June 30, 2013, and 12,500 shares on December 31, 2013 provided the reporting person is serving as a director, officer or employee of the Company or any subsidiary of the Company on said dates.
- (2) Vests in 20 equal quarterly installments on the last day of each quarter from March 31, 2008 through December 31, 2012.
- (3) Vests in 16 equal quarterly installments on the last day of each quarter from December 31, 2007 through September 30, 2011.
- (4) Vests in 16 equal quarterly installments on the last day of each quarter from December 31, 2006 through September 30, 2010. 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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