

Edgar Filing: KANG JAMES - Form 4

KANG JAMES
Form 4
April 16, 2003

OMB APPROVAL

OMB Number 3235-0287
Expires: January 31, 2005
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hours per response 0.5

U.S. SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

FORM 4

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(f) of the Investment Company Act of 1940

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

1. Name and Address of Reporting Person*

Kang

James

(Last)

(First)

(Middle)

25800 Commercentre Drive, Suite 100

(Street)

Lake Forest

CA

92630

(City)

(State)

(Zip)

2. Issuer Name and Ticker or Trading Symbol

Liquidmetal Technologies (LQMT)

3. IRS Identification Number of Reporting Person, if an Entity (Voluntary)

4. Statement for Month/Day/Year

April 14, 2003

5. If Amendment, Date of Original (Month/Day/Year)

6. Relationship of Reporting Person to Issuer
(Check all applicable)

☒ Director

☒ Officer (give title below)

☒ 10% Owner

☐ Other (specify below)

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Chairman of the Board

7. 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. Trans- action Date (mm/dd/yy)	2A. Deemed Execution Date, if any (mm/dd/yy)	3. Transaction Code (Instr. 8) ----- Code V	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		
				Amount	(A) or (D)	Price
Liquidmetal Technologies Common Stock	04/14/03		S (1)	3,400 (1)	D (1)	\$4.80
Liquidmetal Technologies Common Stock	04/14/03		S (1)	400 (1)	D (1)	\$4.81
Liquidmetal Technologies Common Stock	04/14/03		S (1)	2,000 (1)	D (1)	\$4.85
Liquidmetal Technologies Common Stock	04/14/03		S (1)	200 (1)	D (1)	\$4.86
Liquidmetal Technologies Common Stock	04/14/03		S (1)	100 (1)	D (1)	\$4.88
Liquidmetal Technologies Common Stock	04/14/03		S (1)	100 (1)	D (1)	\$4.90
Liquidmetal Technologies Common Stock	04/15/03		S (1)	7,000 (1)	D (1)	\$4.25
Liquidmetal Technologies Common Stock	04/15/03		S (1)	3,200 (1)	D (1)	\$4.26
Liquidmetal Technologies Common Stock	04/15/03		S (1)	3,000 (1)	D (1)	\$4.27
Liquidmetal Technologies Common Stock	04/15/03		S (1)	4,900 (1)	D (1)	\$4.28
Liquidmetal Technologies Common Stock	04/15/03		S (1)	4,300 (1)	D (1)	\$4.29

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Liquidmetal Technologies					
Common Stock	04/15/03	S (1)	9,100 (1)	D (1)	\$4.30
Liquidmetal Technologies					
Common Stock	04/15/03	S (1)	2,400 (1)	D (1)	\$4.31
Liquidmetal Technologies					
Common Stock	04/15/03	S (1)	3,500 (1)	D (1)	\$4.32

* If the Form is filed by more than one Reporting Person, see Instruction 4(b) (v) .

- (1) These shares were sold on Mr. Kang's account by a lender of Mr. Kang as a result of the exercise of a security interest held by the lender. These shares were under the control of Merrill Lynch as the secured lender, and the sale was involuntary on the part of Mr. Kang. Mr. Kang expects that this loan will be repaid without any additional stock sales.

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

(Print or Type Responses)

(Over)

(Form 4-07/98)

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1. Name and Address of Reporting Person*

Kang James

(Last)

(First)

(Middle)

25800 Commercentre Drive, Suite 100

(Street)

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Lake Forest	CA	92630
(City)	(State)	(Zip)

2. Issuer Name and Ticker or Trading Symbol

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4. Statement for Month/Day/Year

April 14, 2003

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6. Relationship of Reporting Person to Issuer
(Check all applicable)

☒ Director

☒ 10% Owner

☒ Officer (give title below)

☐ Other (specify below)

Chairman of the Board

7. 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. Trans- action Date (mm/dd/yy)	2A. Deemed Execution Date, if any (mm/dd/yy)	3. Transaction Code (Instr. 8) ----- Code V	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) ----- (A) or (D)			Price
				Amount			
Liquidmetal Technologies Common Stock	04/15/03		S (1)	6,500 (1)		D (1)	\$4.33
Liquidmetal Technologies Common Stock	04/15/03		S (1)	4,900 (1)		D (1)	\$4.34
Liquidmetal Technologies							

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Common Stock	04/15/03	S (1)	25,100 (1)	D (1)	\$4.35
Liquidmetal Technologies Common Stock	04/15/03	S (1)	300 (1)	D (1)	\$4.36
Liquidmetal Technologies Common Stock	04/15/03	S (1)	3,200 (1)	D (1)	\$4.37
Liquidmetal Technologies Common Stock	04/15/03	S (1)	100 (1)	D (1)	\$4.38
Liquidmetal Technologies Common Stock	04/15/03	S (1)	8,600 (1)	D (1)	\$4.40
Liquidmetal Technologies Common Stock	04/15/03	S (1)	100 (1)	D (1)	\$4.42
Liquidmetal Technologies Common Stock	04/15/03	S (1)	200 (1)	D (1)	\$4.43
Liquidmetal Technologies Common Stock	04/15/03	S (1)	100 (1)	D (1)	\$4.44
Liquidmetal Technologies Common Stock	04/15/03	S (1)	500 (1)	D (1)	\$4.45
Liquidmetal Technologies Common Stock	04/15/03	S (1)	4,100 (1)	D (1)	\$4.46
Liquidmetal Technologies Common Stock	04/15/03	S (1)	100 (1)	D (1)	\$4.50
Liquidmetal Technologies Common Stock	04/16/03	S (1)	3,600 (1)	D (1)	\$4.30
Liquidmetal Technologies Common Stock	04/16/03	S (1)	14,700 (1)	D (1)	\$4.35
Liquidmetal Technologies Common Stock	04/16/03	S (1)	11,100 (1)	D (1)	\$4.40
Liquidmetal Technologies Common Stock	04/16/03	S (1)	800 (1)	D (1)	\$4.31

* If the Form is filed by more than one Reporting Person, see Instruction 4(b)(v).

- (1) These shares were sold on Mr. Kang's account by a lender of Mr. Kang as a result of the exercise of a security interest held by the lender. These shares were under the control of Merrill Lynch as the secured lender, and the sale was involuntary on the part of Mr. Kang. Mr. Kang expects that this loan will be repaid without any additional stock sales.

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

(Print or Type Responses)

(Over)

(Form 4-07/98)

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FORM 4 (continued)

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

[illegible]

Explanation of Responses:

This Form 4 is being filed to reflect the sale of shares on Mr. Kang's account by a lender of Mr. Kang as a result of the exercise of a security interest held by the lender. These shares were under the control of Merrill Lynch as the secured lender, and the sale was involuntary on the part of Mr. Kang. Mr. Kang expects that this loan will be repaid without any additional stock sales.

/s/ Curt P. Creely

April 16, 2003

Curt P. Creely, as Attorney-In-Fact
for James Kang

Date _____

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** 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.

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