

LUNA INNOVATIONS INC

Form 3

June 02, 2006

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104

Expires: January 31, 2005

Estimated average burden hours per response... 0.5

**INITIAL STATEMENT OF 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

(Print or Type Responses)

1. Name and Address of Reporting

Person \*

Engebritson Lori D

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

06/02/2006

3. Issuer Name and Ticker or Trading Symbol

LUNA INNOVATIONS INC [LUNA]

4. Relationship of Reporting Person(s) to Issuer

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

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other (specify below)

VP Human Resources

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting Person☐ Form filed by More than One Reporting PersonC/O LUNA INNOVATIONS,  
INCORPORATED, 2851  
COMMERCE STREET

(Street)

BLACKSBURG, VA 24060

(City)

(State)

(Zip)

**Table I - Non-Derivative Securities Beneficially Owned**

1. Title of Security

(Instr. 4)

2. Amount of Securities

Beneficially Owned

(Instr. 4)

3. Ownership

Form:

Direct (D)

or Indirect

(I)

(Instr. 5)

4. Nature of Indirect Beneficial

Ownership

(Instr. 5)

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

SEC 1473 (7-02)

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

1. Title of Derivative Security

(Instr. 4)

2. Date Exercisable and

Expiration Date

(Month/Day/Year)

Date

Exercisable

Expiration

Date

3. Title and Amount of

Securities Underlying

Derivative Security

(Instr. 4)

Title

Amount or

Number of

4. Conversion

or Exercise

Price of

Derivative

Security

5.

Ownership

Form of

Derivative

Security:

Direct (D)

6. Nature of Indirect

Beneficial Ownership

(Instr. 5)

# Edgar Filing: LUNA INNOVATIONS INC - Form 3

				Shares		or Indirect (I) (Instr. 5)	
Employee Stock Option (Right to Buy)	Â (1)	09/22/2013	Common Stock	84,785	\$ 0.3538	D	Â
Employee Stock Option (Right to Buy)	Â (2)	09/22/2013	Common Stock	1,527	\$ 0.3538	D	Â
Employee Stock Option (Right to Buy)	Â (3)	04/26/2015	Common Stock	5,653	\$ 0.3538	D	Â
Employee Stock Option (Right to Buy)	Â (4)	05/20/2015	Common Stock	84,785	\$ 0.3538	D	Â
Employee Stock Option (Right to Buy)	Â (5)	02/08/2007	Common Stock	42,393	\$ 1.7692	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Engebritson Lori D C/O LUNA INNOVATIONS, INCORPORATED 2851 COMMERCE STREET BLACKSBURG, VA 24060	Â	Â	Â VP Human Resources	Â

## Signatures

/s/ Aaron S. Hullman, Esq.,  
Attorney-in-Fact

06/02/2006

\_\_Signature of Reporting Person

Date

## Explanation of Responses:

\* If the form is filed by more than one reporting person, *see* Instruction 5(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) 100% of the option shares became exercisable on September 22, 2005.

(2) 100% of the option shares became exercisable on September 22, 2003.

(3) 1/4 of the option shares will become exercisable on January 1, 2007. The remaining option shares are exercisable at a rate of 1/36 per month thereafter.

(4) 1/4 of the option shares became exercisable on May 20, 2006. The remaining option shares are exercisable at a rate of 1/36 per month thereafter.

(5) 1/2 of the option shares became exercisable on February 8, 2006. The remaining option shares are exercisable at a rate of 1/24 per month thereafter.

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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