Edgar Filing: ROEDEL RICHARD - Form 4

| ROEDEL R | RICHARD | | | | | | | | | | |
|---|---|------------------------|--------------------------------|---------------|--|-----------------|---|------------------------------------|-------------------------|--|--|
| Form 4 | | | | | | | | | | | |
| April 05, 20 |)11 | | | | | | | | | | |
| FORM | / / / | | an an | | | CTL MOT | | | PPROVAL | | |
| UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 | | | | | | | | OND | 3235-028 | | |
| Check t | his box | | wa | shington | , D.C. 20 | 1549 | | Number: | January 31, | | |
| if no longer whigh to a state of the state o | | | | ICES IN | DENIFE | Expires: | 2005 | | | | |
| subject | 10 | | | | | ICIAL O | | Estimated | Estimated average | | |
| Form 4 | on 16. SECURITIES | | | | | | burden hours per response 0.5 | | | | |
| Form 5 | | | | | | | | • | . 0.5 | | |
| obligati | ons Section 17 | | | | | | of 1935 or Section | | | | |
| may con <i>See</i> Inst | | 30(h) | of the In | nvestment | t Compar | ny Act of 1 | 940 | | | | |
| 1(b). | | | | | | | | | | | |
| | | | | | | | | | | | |
| (Print or Type | Responses) | | | | | | | | | | |
| 1 Name and | Address of Reporting | Person * | 2 I | | J T: -1 | T | 5 Relationshin | of Reporting Per | rson(s) to | | |
| ROEDEL I | 2. Issuer Name and Ticker or Trading Symbol | | | | 5. Relationship of Reporting Person(s) to Issuer | | | | | | |
| | | | - | INNOVA | TIONS | INC | | | | | |
| | | | [LUNA | | 1110110 | ii (C | (Che | eck all applicabl | e) | | |
| (Last) | (First) | (Middle) | - | of Earliest T | ransaction | | X Director | 104 | % Owner | | |
| | | | (Month/Day/Year) | | | | Officer (give title Other (specify | | | | |
| C/O LUNA | INNOVATION | S | 04/01/2 | - | | | below) | below) | | | |
| INCORPO | RATED, 1 RIVE | RSIDE | | | | | | | | | |
| CIRCLE, S | SUITE 400 | | | | | | | | | | |
| (Street) | | | 4. If Amendment, Date Original | | | | 6. Individual or Joint/Group Filing(Check | | | | |
| | | | Filed(Mo | onth/Day/Yea | r) | | Applicable Line) | | | | |
| | | | | | | | _X_ Form filed by Form filed by | One Reporting P More than One R | | | |
| ROANOK | E, VA 24016 | | | | | | Person | whole than one R | epotting | | |
| (City) | (State) | (Zip) | Tab | le I - Non-l | Derivative | Securities A | cquired, Disposed | of, or Beneficia | lly Owned | | |
| 1.Title of | 2. Transaction Date | 2A. Deem | | 3. | 4. Securit | | 5. Amount of | 6. Ownership | 7. Nature of | | |
| Security | | Execution Date, if any | | | | | Securities | Form: Direct | | | |
| (Instr. 3) | | | | Code | Disposed | | | (D) or Indirect | | | |
| | | (Month/Da | ay/Year) | (Instr. 8) | (Instr. 3, 4 | 4 and 5) | Owned Following | (I) (Instr. 4) | Ownership (Instr. 4) | | |
| | | | | | | (\mathbf{A}) | Reported | (1154.1) | (11011.1) | | |
| | | | | | | (A) or | Transaction(s) | | | | |
| | | | | Code V | Amount | (D) Price | (Instr. 3 and 4) | | | | |
| D 1 D | | C 1 1 | C | 1 | c 11 | 1.12 (1 | | | | | |
| Reminder: Re | port on a separate lin | e for each cl | ass of sec | urities bene | ficially ow | ned directly of | 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.

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

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| 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) | | | 6. Date Exercisable and Expiration Date (Month/Day/Year) | | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | | 8. Price Deriva Securit (Instr. | | |
|---|---|---|---|------|---|--|-----|---|--------------------|--|--|------|
| | | | | Code | V | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | |
| Stock Units | <u>(1)</u> | 04/01/2011 | | А | | 2,500 | | (2) | (2) | Common Stock | 2,500 | \$ (|

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | | |
|---|---------------|-----------|---------|-------|--|--|--|
| | Director | 10% Owner | Officer | Other | | | |
| ROEDEL RICHARD C/O LUNA INNOVATIONS INCORPORATED 1 RIVERSIDE CIRCLE, SUITE 400 ROANOKE, VA 24016 | x | | | | | | |
| Signatures | | | | | | | |
| /s/ Talfourd H. Kemper, Jr., Attorney-In-Fact | 04/05/20 | 11 | | | | | |
| **Signature of Reporting Person | Date | | | | | | |

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) Stock units are convertible into issuer's common stock on a 1-for-1 basis.

Stock units issued under the issuer's Non-Employee Director Deferred Compensation Plan in lieu of cash payment for director fees for the first quarter of 2011 in the amount of \$5,250. The Stock Units become issuable in common stock of the issuer at the election of the

(2) reporting person upon the reporting person's termination of service, a change of control of the issuer, an unforeseeable emergency, or a fixed date selected by the reporting person. The number of stock units granted was calculated using the closing price of the issuer's common stock as reported on the NASDAQ Global Market on April 1, 2011.

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.