## Edgar Filing: SUN MICROSYSTEMS, INC. - Form 4

SUN MICROSYSTEMS, INC. Form 4 November 13, 2007 OMB APPROVAL FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION OMB 3235-0287 Washington, D.C. 20549 Number: Check this box January 31, Expires: if no longer 2005 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF subject to Estimated average **SECURITIES** Section 16. burden hours per Form 4 or response... 0.5 Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading MARKS MICHAEL E Issuer Symbol SUN MICROSYSTEMS, INC. (Check all applicable) [JAVA] X\_ Director (Last) (First) (Middle) 3. Date of Earliest Transaction 10% Owner Other (specify Officer (give title (Month/Day/Year) below) below) **4150 NETWORK CIRCLE** 11/08/2007 (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person \_ Form filed by More than One Reporting SANTA CLARA, CA 95054 Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 7. Nature of 3. 4. Securities Acquired (A) 5. Amount of 6. Security (Month/Day/Year) Execution Date, if Transaction Disposed of (D) Securities Ownership Indirect (Instr. 3) Code (Instr. 3, 4 and 5) Beneficially Form: Beneficial any (Month/Day/Year) Owned Direct (D) Ownership (Instr. 8) Following or Indirect (Instr. 4) Reported (I) (A) Transaction(s) (Instr. 4) or (Instr. 3 and 4) Code V Amount (D) Price Common \$ 11/08/2007(5) Α 33,718 33,718 (<u>1</u>) D A Stock 0.0007 By WB Common 200.000 Ι Investors, Stock LLC (2)By Epping Common Investment 500.000 Ι Stock Holdings, LLC (2)

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

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

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. Transacti Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	;	Date		tle and Amount of 8. F erlying Securities Der r. 3 and 4) Sec (Ins	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Director Stock Option (Right to Buy) (3)	\$ 5.27					<u>(4)</u>	04/25/2012	Common Stock	10,000	

# **Reporting Owners**

<b>Reporting Owner Name / Address</b>	Relationships						
	Director	10% Owner	Officer	Other			
MARKS MICHAEL E 4150 NETWORK CIRCLE SANTA CLARA, CA 95054	Х						
Signatures							
/s/ Michael E.							

11/09/2007 Marks \*\*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) This includes 33,718 shares of unvested restricted stock units.

The reporting person disclaims beneficial ownership of these securities except to the extent that the reporting person is deemed to have a (2) pecuniary interest in the securities, and this report shall not be deemed an admission that the reporting person is the beneficial owner of such securities for purposes of Section 16 or for any other purpose.

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- (3) This option was granted under the Sun Microsystems, Inc. 1988 Directors' Stock Option Plan.
- (4) This option vests and becomes exercisable in four equal annual installments of 2,500 shares beginning on April 25, 2008 or the date of Sun Microsystems, Inc.'s Annual Meeting of Stockholders, whichever is earlier.
- (5) This transaction took place prior to the effectiveness of a one-for-four reverse split of the Common Stock of Sun Microsystems, Inc. on November 12, 2007. Accordingly, all of the information included in this report is presented on a pre-split basis.

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.