

MARRONE BIO INNOVATIONS INC

Form 3

August 01, 2013

FORM 3**UNITED STATES SECURITIES AND EXCHANGE COMMISSION**
Washington, D.C. 20549

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated 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 *

Â Rominger Richard E

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

08/01/2013

3. Issuer Name and Ticker or Trading Symbol

MARRONE BIO INNOVATIONS INC [MBII]

4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

(Check all applicable)

☒ Director ☐ 10% Owner
☐ Officer ☐ Other
(give title below) (specify below)C/O MARRONE BIO
INNOVATIONS, INC.,Â 2121
SECOND STREET, SUITE
A-107

(Street)

DAVIS,Â CAÂ 95618

(City)

(State)

(Zip)

6. 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 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)

Common Stock

99,522

I

By Trust ⁽¹⁾Reminder: Report on a separate line for each class of securities beneficially
owned directly or indirectly.

SEC 1473 (7-02)

**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 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)3. Title and Amount of
Securities Underlying
Derivative Security4. Conversion
or Exercise5. Ownership
Form of6. Nature of Indirect
Beneficial Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date	(Instr. 4) Title	Amount or Number of Shares	Price of Derivative Security	Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	
Stock Option (Right to Buy)	Â (2)	08/14/2016	Common Stock	3,836	\$ 0.078	D	Â
Stock Option (Right to Buy)	Â (3)	12/15/2021	Common Stock	12,745	\$ 1.41	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Rominger Richard E C/O MARRONE BIO INNOVATIONS, INC. 2121 SECOND STREET, SUITE A-107 DAVIS, CA 95618	Â X	Â	Â	Â

Signatures

/s/ Donald J. Glidewell, Donald J. Glidewell,
Attorney-in-Fact 08/01/2013

__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) The Richard and Mary Rominger Community Trust
- (2) The option vested with respect to 1/4th of the total shares subject to the option on the first anniversary of the vesting commencement date of August 15, 2007, and 1/48th of the total shares subject to the option monthly thereafter for 36 months.
- The options vested with respect to 50% of the total shares subject to the option on the vesting commencement date of December 15, 2011,
- (3) and with respect to 1/120th of the total shares subject to the option one month after the vesting commencement date of November 1, 2011, and 1/120th of the total shares subject to the option monthly thereafter for 36 months.

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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