

LYONS JEANNE M
Form 4
June 19, 2018

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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STATEMENT OF CHANGES IN 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 *
LYONS JEANNE M

2. Issuer Name and Ticker or Trading Symbol
GENCOR INDUSTRIES INC
[GENC]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
5201 N. ORANGE BLOSSOM TRAIL

3. Date of Earliest Transaction (Month/Day/Year)
06/12/2018

____ Director
 Officer (give title below)
____ 10% Owner
____ Other (specify below)
Secretary

(Street)
ORLANDO, FL 32810

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

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
____ Form filed by More than One Reporting Person

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| | | | | (A) or (D) | Price | | |
| Common Stock | 06/12/2018 | | M | 3,000 | A \$ 5.126 | 3,000 | D |
| Common Stock | 06/13/2018 | | S | 1,197 | D \$ 15.8 | 1,803 | D |
| Common Stock | 06/13/2018 | | S | 1,803 | D \$ 15.7 | 0 | D |
| Common Stock | 06/14/2018 | | M | 4,000 | A \$ 5.126 | 4,000 | D |
| Common Stock | 06/15/2018 | | S | 400 | D \$ 15.51 | 3,600 | D |

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Common Stock 06/15/2018 S 2,600 D \$ 15.53 1,000 D

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

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(9-02)

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. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|
| Stock Options (right to buy) | \$ 5.126 | 06/12/2018 | | M | 3,000 | <u>(1)</u> 10/01/2021 | Common Stock | 3,000 |
| Stock Options (right to buy) | \$ 5.126 | 06/14/2018 | | M | 4,000 | <u>(1)</u> 10/01/2021 | Common Stock | 4,000 |

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

LYONS JEANNE M
5201 N. ORANGE BLOSSOM TRAIL
ORLANDO, FL 32810

Secretary

Signatures

Jeanne Lyons 06/19/2018

**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) The options exercised were granted on Oct 1, 2011 and vested in equal annual installments: Oct 1, 2012, Oct 1, 2013, Oct 1, 2014 and Oct 1, 2015.

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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