

PRO DEX INC
Form 4
May 17, 2017

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 *
Van Kirk Richard Lee Jr

(Last) (First) (Middle)
34 DEER CREEK
(Street)
IRVINE, CA 92064

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
PRO DEX INC [PDEX]

3. Date of Earliest Transaction (Month/Day/Year)
08/04/2016

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director 10% Owner
 Officer (give title below) Other (specify below)
Chief Executive Officer

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 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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| | | | Code | V Amount (A) or (D) Price | | | |
| Common Stock - ESPP | 08/04/2016 | | J ⁽¹⁾ | V 198 A \$ 4.9115 | 18,157 | D | |
| Common Stock - ESPP | 02/02/2017 | | J ⁽¹⁾ | V 573 A \$ 4.53 | 18,730 | D | |
| Common Stock | 05/16/2017 | | M | 3,334 A \$ 4.38 | 22,064 | D | |
| Common Stock | 05/16/2017 | | F | 2,394 ⁽²⁾ D \$ 6.1 | 19,700 | D | |

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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) | Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|
| Employee Stock Option (Right to Buy) | \$ 4.38 | 05/16/2017 | | M | 3,334 (3) | 05/18/2011 05/18/2017 | Common Stock | 3,334 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|-------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Van Kirk Richard Lee Jr 34 DEER CREEK IRVINE, CA 92064 | X | | Chief Executive Officer | |

Signatures

/s/ Alisha Charlton as attorney-in-fact for Richard Van Kirk 05/17/2017

**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) These purchases were made pursuant to an Employee Stock Purchase Plan under Section 423 in exempt transactions pursuant to Rule 16b-3.
- (2) Reflects 2,394 shares withheld by the Issuer at the market price of \$6.10 per share less an exercise price of \$4.38 per share to fund the cashless exercise of 3,334 options.

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(3) Stock options under the Issuer's Second Amended and Restated 2004 Employee Stock Option Plan. The option shares are fully vested.

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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