ExOne Co Form 4 August 15, 2016

## FORM 4

## **OMB APPROVAL**

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

OMB Number:

3235-0287

Check this box if no longer

Expires:

January 31, 2005

subject to Section 16. Form 4 or

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

Estimated average burden hours per response... 0.5

Form 5 obligations may continue. See Instruction

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* **ROCKWELL S KENT** 

127 INDUSTRY BOULEVARD

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to Issuer

Symbol

ExOne Co [XONE]

(Check all applicable)

(Last)

(First) (Middle) 3. Date of Earliest Transaction

(Month/Day/Year) 08/12/2016

Filed(Month/Day/Year)

\_X\_\_ Director X 10% Owner X\_ Officer (give title Other (specify

below) Chairman and CEO

4. If Amendment, Date Original

Code V

Applicable Line)

\_X\_ Form filed by One Reporting Person

NORTH HUNTINGDON, PA 15642

(Street)

Form filed by More than One Reporting

6. Individual or Joint/Group Filing(Check

Person

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

(City) (State) (Zip)

1.Title of	2. Transaction Date	2A. Deemed	3.	4. Sec
Security	(Month/Day/Year)	Execution Date, if	TransactionAcqu	
(Instr. 3)		any	Code	Dispo
		(Month/Day/Year)	(Instr. 8)	(Instr

curities aired (A) or osed of (D) r. 3, 4 and 5) 5. Amount of Securities Beneficially Owned Following Reported

6. Ownership 7. Nature of Form: Direct Indirect (D) or Beneficial Indirect (I) Ownership (Instr. 4) (Instr. 4)

(A)

Transaction(s)

(Instr. 3 and 4) Amount (D) Price

Common 08/12/2016 Stock

7,500 A Α \$0 9,167 (1)

D

Common Stock

4,208,888 I Rockwell Revocable Trust (2)

By S. Kent

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

SEC 1474 (9-02)

### Edgar Filing: ExOne Co - Form 4

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

1. Title of	f 2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exer	cisable and	7. Titl	le and	8. Price of	9. Nu
Derivativ	e Conversion	(Month/Day/Year)	Execution Date, if	Transacti	orNumber	Expiration D	ate	Amou	ınt of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	/Year)	Under	rlying	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivativ	e		Secur	ities	(Instr. 5)	Bene
	Derivative				Securities	S		(Instr.	. 3 and 4)		Own
	Security				Acquired						Follo
					(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						
					4, and 5)						
									A		
									Amount		
						Date	Expiration	T:41-	or Namel		
						Exercisable Date		Number			
				C-1- V	(A) (D)				of		
				Code v	(A) (D)				Shares		

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
<b></b>	Director	10% Owner	Officer	Other		
ROCKWELL S KENT						
127 INDUSTRY BOULEVARD	X	X	Chairman and CEO			
NORTH HUNTINGDON, PA 15642						

# **Signatures**

/s/ JoEllen Lyons Dillon, attorney-in-fact for S. Kent Rockwell

08/15/2016

\*\*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).
- Grant of restricted stock under The ExOne Company 2013 Equity Incentive Plan. One-third of the restricted stock vests on the first (1) anniversary of the date of grant, one-third vests on the second anniversary of the date of grant, and one-third vests on the third anniversary of the date of grant.
- S. Kent Rockwell is the beneficiary of the S. Kent Rockwell Revocable Trust, which is the indirect, sole stockholder of Rockwell Forest Products, Inc., which is the record holder of the shares beneficially owned by Mr. Rockwell.

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.

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