Edgar Filing: SIMON GARY D - Form 4

SIMON GA	ARY D										
Form 4											
August 31,	2009										
FORM	ЛД								PPROVAL		
	UNITED	STATES S		RITIES A shington			COMMISSIO	N OMB Number:	3235-0287		
Check t								Expires:	January 31,		
if no lo subject		MENT OF	CHAN	GES IN	BENEF	ICIAL OV	WNERSHIP OI	Estimated	2005		
Section 16. SECURITIES								burden hou			
Form 4		_						response			
Form 5 obligati	000						nge Act of 1934,				
may con				•	•	- ·	of 1935 or Secti	on			
See Inst	ruction	30(h) 01	t the In	vestment	Compar	ny Act of 1	940				
1(b).											
(Print or Type	Responses)										
	Address of Reporting	Person <u>*</u>	2. Issuer	r Name and	l Ticker or	Trading	5. Relationship	of Reporting Per	rson(s) to		
SIMON G	ARY D		Symbol				Issuer				
CAPSTONE TURBINE CORP								eck all applicabl	k all applicable)		
		l	cpst]				χ -	TT TT	- /		
(Last) (First) (Middle) 3. I				3. Date of Earliest Transaction			X_ Director 10% Owner Officer (give title Other (specify				
				below)				below)	ler (specify		
21211 NO	RDHOFF STREE	.1 0)8/27/2	009							
(Street) 4. If				ndment, Da	ate Origina	1	6. Individual or Joint/Group Filing(Check				
		F	Filed(Mor	nth/Day/Year	r)		Applicable Line)	· One Deporting D			
CHATSW	ORTH, CA 91311	l					_X_ Form filed by Form filed by Person	More than One R			
(City)	(State)	(Zip)	Tabl	e I - Non-I	Derivative	Securities A	cquired, Disposed	of, or Beneficia	lly Owned		
1.Title of	2. Transaction Date			3.	4. Securit		5. Amount of	6. Ownership	7. Nature of		
Security (Instr. 3)	(Month/Day/Year)	Execution Da		Transactio Code	nAcquired Disposed		Securities Beneficially	Form: Direct (D) or Indirect	Indirect Beneficial		
(1130.5)		(Month/Day/		(Instr. 8)	(Instr. 3, 4		Owned	(I)	Ownership		
							Following	(Instr. 4)	(Instr. 4)		
						(A)	Reported Transaction(s)				
						or	(Instr. 3 and 4)				
				Code V	Amount	(D) Price					
Reminder: Re	port on a separate line	e for each class	s of secu	rities benef	ficially own	ned directly o	or indirectly.				
							pond to the colle		SEC 1474		
							ained in this form		(9-02)		

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

number.

displays a currently valid OMB control

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5. Number of	6. Date Exercisable and	7. Title and Amount o
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transactio	orDerivative	Expiration Date	Underlying Securities
Security	or Exercise		any	Code	Securities	(Month/Day/Year)	(Instr. 3 and 4)

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(Instr. 3)	Price of Derivative Security		(Month/Day/Year)	(Instr.	8)	Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)					
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Share
Stock Option (right to buy)	\$ 1.19	08/27/2009		A		10,000		11/27/2009 <u>(1)</u>	08/27/2019	Common Stock	10,000

Reporting Owners

Reporting Owner Name / Address		Relationsh			
	Director	10% Owner	Officer	Other	
SIMON GARY D 21211 NORDHOFF STREET CHATSWORTH, CA 91311	Х				
Signatures					
Clarice Hovsepian, Power of A Person	08/31/2009				

<u>**</u>Signature of Reporting Person

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) Stock options vest and are exercisable as follows: 2,500 on 11/27/2009, 2,500 on 2/27/2010, 2,500 on 5/27/2010 and 2,500 on 8/27/2010.

Date

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.