

Ascent Solar Technologies, Inc.

Form 4

July 11, 2007

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

Check this box  
if no longer  
subject to  
Section 16.  
Form 4 or  
Form 5  
obligations  
may continue.  
See Instruction  
1(b).

**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

## OMB APPROVAL

OMB  
Number: 3235-0287  
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2005  
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response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Misra Ashutosh

(Last) (First) (Middle)

C/O ASCENT SOLAR  
TECHNOLOGIES, INC., 8120  
SHAFFER PARKWAY

(Street)

LITTLETON, CO 80127

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol  
Ascent Solar Technologies, Inc.  
[ASTI]

3. Date of Earliest Transaction  
(Month/Day/Year)  
07/10/2007

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_\_X\_\_ Officer (give title below) \_\_\_\_ Other (specify below)  
SVP Operations & Corp. Affairs

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
\_\_X\_\_ 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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price		
Common Stock	07/10/2007		S <sup>(1)</sup>		800	D	\$ 9.28	59,200 <sup>(2)</sup>	D
Common Stock	07/10/2007		S <sup>(1)</sup>		400	A	\$ 9.29	58,800 <sup>(2)</sup>	D
Common Stock	07/10/2007		S <sup>(1)</sup>		2,000	A	\$ 9.32	56,800 <sup>(2)</sup>	D
Common Stock	07/10/2007		S <sup>(1)</sup>		300	A	\$ 9.35	56,500 <sup>(2)</sup>	D
	07/10/2007		S <sup>(1)</sup>		400	D		56,100 <sup>(2)</sup>	D

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Common					\$		
Stock					9.36		
Common	07/10/2007	S <sup>(1)</sup>	100	A	\$ 9.4	56,000 <sup>(2)</sup>	D
Stock							

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)

**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. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction (Instr. 6)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

## Reporting Owners

### Reporting Owner Name / Address

### Relationships

Director 10% Owner Officer Other

Misra Ashutosh  
C/O ASCENT SOLAR TECHNOLOGIES, INC.  
8120 SHAFFER PARKWAY  
LITTLETON, CO 80127

SVP Operations & Corp. Affairs

## Signatures

David C. Wang , as attorney-in-fact for Ashutosh  
Misra

07/11/2007

\*\*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 sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on June 22, 2007.

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(2) Mr. Misra also holds 4,000 Class B Warrants and options to purchase 10,000 shares of common stock.

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. 50.2309/02/2016 D 9,65211/18/2016<sup>(7)</sup>11/18/2024 Common Stock 9,652 <sup>(6)</sup> 0 D

Employee Stock Option (Right to Buy) \$ 43.8609/02/2016 D 11,63410/07/2017<sup>(7)</sup>10/07/2025 Common Stock 11,634 <sup>(6)</sup> 0 D

## Reporting Owners

Reporting Owner Name / Address	Relationships
	Director    10% Owner    Officer    Other
Bartschat Michael K 5757 N GREEN BAY AVENUE MILWAUKEE, WI 53209	VP & Chief Procurement Officer

## Signatures

/s/ Catherine M. Walker, attorney-in-fact for Michael K.  
Bartschat

09/06/2016

\_\_Signature of Reporting Person

Date

## Explanation of Responses:

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- (1) Each share of Johnson Controls, Inc. ("Johnson Controls") was converted into 0.8357 ordinary shares of Johnson Controls International plc (formerly Tyco International plc) ("JCI plc") and \$5.7293 in cash in connection with the closing of the merger between Johnson Controls and JCI plc (the "merger").
- (2) Includes 628.739 shares acquired via dividend reinvestment on October 2, 2015, January 5, April 4, July 5 and August 19, 2016 at prices ranging from \$39.08 to \$50.39 per share.
- (3) The balance includes unvested restricted stock units and dividend equivalents that were converted into an equivalent number of restricted stock units in JCI plc in connection with the closing of the merger.
- (4) Each unit of phantom stock is the economic equivalent of one share of Johnson Controls common stock.
- (5) The phantom stock units accrue under the Johnson Controls Restricted Stock Plan. The balance includes dividend equivalent units that settle 100% in cash and relate to unvested restricted stock awards.
- (6) The options were converted into an equivalent number of options with respect to JCI plc at the same exercise price in connection with the closing of the merger.
- (7) Fifty percent of the options become exercisable two years after the grant date; the remaining 50%, three years after the grant date.

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