Edgar Filing: Smith Dana C - Form 4

Smith Dana	ı C										
Form 4											
January 17,	2013										
FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION								OMB APPROVAL			
	UNITED	STATES			AND EX(, D.C. 20		NGE CO	OMMISSION	OMB Number:	3235-0287	
Check ti if no lor subject Section Form 4	nger STATEN 16.	MENT OF	F CHANGES IN BENEFICIAL OWNERSHIP						Estimated average burden hours per		
Form 5 obligation may con <i>See</i> Inst 1(b).	Filed put ons htinue. Section 17((a) of the P	ublic U	tility Hol		npang	Act of	Act of 1934, 1935 or Section	response	0.5	
(Print or Type	Responses)										
1. Name and Address of Reporting Person <u>*</u> Ambergate Trust								5. Relationship of Reporting Person(s) to Issuer			
(Last)	(First) (3. Date of Earliest Transaction				(Check	(Check all applicable)			
C/O CERE	S, INC., 1535 RA BOULEVARD	,		Day/Year)	Tansaction		- - 1	Director Officer (give t pelow)	itle $\underline{X}_{10\%}$ Other below)	Owner er (specify	
(Street)			-					6. Individual or Joint/Group Filing(Check Applicable Line) Form filed by One Reporting Person			
THOUSAN	ND OAKS, CA 91	.320						X_ Form filed by M Person			
(City)	(State)	(Zip)	Tabl	e I - Non-I	Derivative	Secur	ities Acqu	ired, Disposed of,	or Beneficial	ly Owned	
(Instr. 3) any		Execution I	Date, if Transact Code		(A)			Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
G				Code V	Amount	or (D)	Price \$	(Instr. 3 and 4)			
Common Stock	01/16/2013			Р	42,880	А	4.6056 (1)	2,452,366	D (2)		
Common Stock								359,000	D <u>(3)</u>		

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.

Edgar Filing: Smith Dana C - Form 4

 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)	4. Transactic Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	Unde Secur	unt of rlying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr
			Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

Reporting Owners

Reporting Owner Name / Address							
	Director	10% Owner	Officer	Other			
Ambergate Trust C/O CERES, INC. 1535 RANCHO CONEJO BOULEVARD THOUSAND OAKS, CA 91320		Х					
Lynda De Logi Trust C/O CERES, INC. 1535 RANCHO CONEJO BLVD THOUSAND OAKS, CA 91320		Х					
Smith Dana C C/O CERES, INC. 1535 RANCHO CONEJO BOULEVARD THOUSAND OAKS, CA 91320		Х					
Rothschild Trust Guernsey Ltd (Ambergate) C/O CERES, INC. 1535 RANCHO CONEJO BLVD THOUSAND OAKS, CA 91320		Х					
Signatures							
/s/ Wilfriede van Assche, Attorney-in-Fact fo	r The Am	bergate Trus	t		01/17/2013	3	
<u>**</u> Signature of Rep	orting Person	ı			Date		
Wilfriede van Assche, Attorney-in-Fact for The Lynda De Logi Trust							
<u>**</u> Signature of Rep	orting Person	L			Date		
Wilfriede van Assche, Attorney-In-Fact for D	ana Smitl	n			01/17/2013	3	
<u>**</u> Signature of Rep	orting Person	l			Date		

Wilfriede van Assche, Attorney-in-Fact for Rothschild Trust Guernsey Limited					
(Ambergate)	01/17/2013				

<u>**</u>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).

Represents the weighted average sales price of shares sold at prices from \$4.51 to \$4.65, inclusive. The reporting person undertakes to
 (1) provide to the issuer, any security holder of the issuer or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth.

- (2) Held by the Ambergate Trust.
- (3) Held by the Lynda De Logi Trust.

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.