

DIGITAL POWER CORP

Form 3

September 30, 2016

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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 *

SMITH ROBERT O

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

09/22/2016

3. Issuer Name and Ticker or Trading Symbol

DIGITAL POWER CORP [DPW]

4. Relationship of Reporting Person(s) to Issuer

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

(Check all applicable)

☒ Director ☐ 10% Owner
☐ Officer ☐ Other
(give title below) (specify below)

6. Individual or Joint/Group Filing(Check Applicable Line)
☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting Person

48430 LAKEVIEW BLVD.

(Street)

FREMONT, CA 94538-6532

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. Title of Security
(Instr. 4)2. Amount of Securities Beneficially Owned
(Instr. 4)

3. Ownership Form:
Direct (D)
or Indirect (I)
(Instr. 5)

4. Nature of Indirect Beneficial Ownership
(Instr. 5)

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

SEC 1473 (7-02)

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.

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)1. Title of Derivative Security
(Instr. 4)2. Date Exercisable and Expiration Date
(Month/Day/Year)

Date Expiration
Exercisable Date

3. Title and Amount of Securities Underlying Derivative Security
(Instr. 4)

Title Amount or Number of Shares

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:
Direct (D)
or Indirect (I)
(Instr. 5)

6. Nature of Indirect Beneficial Ownership
(Instr. 5)

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Employee Stock Options (right to buy)	Â (1)	02/25/2021	Common Stock	10,000	\$ 1.69	D	Â
Employee Stock Options (right to buy)	Â (2)	12/24/2022	Common Stock	5,000	\$ 0.68	D	Â
Employee Stock Options (right to buy)	Â (3)	03/30/2024	Common Stock	2,500	\$ 1.67	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
SMITH ROBERT O 48430 LAKEVIEW BLVD. FREMONT, CA 94538-6532	Â X	Â	Â	Â

Signatures

/s/ Uri
Fridlander

09/27/2016

Signature of
Reporting Person

Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 5(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 option became exercisable in four equal annual installments. The first installment became exercisable on February 28, 2012, and the next three installments became exercisable on February 28, 2013, February 28, 2014 and February 28, 2015, respectively.
- (2) The option became exercisable in two equal annual installments. The first installment became exercisable on December 26, 2013, and the next installment became exercisable on December 26, 2014.
- (3) The option became exercisable on April 2, 2015.

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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