

AMERICAN SUPERCONDUCTOR CORP /DE/

Form 3

April 11, 2017

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 *

Â Kosiba John W JR

(Last)

(First)

(Middle)

C/O AMERICAN
SUPERCONDUCTOR
CORPORATION,Â 64
JACKSON ROAD

(Street)

DEVENS,Â MAÂ 01434

(City)

(State)

(Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

04/03/2017

3. Issuer Name **and** Ticker or Trading SymbolAMERICAN SUPERCONDUCTOR CORP /DE/
[AMSC]4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

SVP, CFO & Treasurer

6. Individual or Joint/Group
Filing(Check Applicable Line)☒ Form filed by One Reporting
Person☐ Form filed by More than One
Reporting Person**Table I - Non-Derivative Securities Beneficially Owned**1. 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)

Common Stock

40,000

D

Â

Common Stock

669 ⁽¹⁾

I

By 401(k) Plan

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)**

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1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		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)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Stock Option (Right to buy)	06/14/2011 ⁽²⁾	06/14/2020	Common Stock	999	\$ 304.9	D	Â
Stock Option (Right to buy)	05/11/2012 ⁽³⁾	05/11/2021	Common Stock	449	\$ 116.3	D	Â
Stock Option (Right to buy)	09/05/2012 ⁽⁴⁾	09/26/2021	Common Stock	1,500	\$ 46.6	D	Â
Stock Option (Right to buy)	05/09/2013 ⁽⁵⁾	05/09/2022	Common Stock	1,999	\$ 40.9	D	Â
Stock Option (Right to buy)	07/31/2014 ⁽⁶⁾	07/31/2023	Common Stock	3,200	\$ 25.1	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Kosiba John W JR C/O AMERICAN SUPERCONDUCTOR CORPORATION 64 JACKSON ROAD DEVENS, MA 01434	Â	Â	Â SVP, CFO & Treasurer	Â

Signatures

/s/ John W.
Kosiba, Jr. 04/11/2017

**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 reporting person holds 669 shares indirectly through the company's 401(k) plan as of March 31, 2017.

(2) The options are vested with respect to 999 shares.

(3) The options are vested with respect to 449 shares.

(4) The options are vested with respect to 1,500 shares.

(5) The options are vested with respect to 1,999 shares.

(6) The options are vested with respect to 3,200 shares

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.