### Edgar Filing: SPIRE Corp - Form 4

SPIRE Corp Form 4 December 24 <b>FORN</b> Check th if no long subject to Section 1 Form 4 c Form 5 obligation may con <i>See</i> Instr 1(b).	0, 2012 <b>1 4</b> UNITED is box ger o STATEN 16. or Filed pur Section 17(	<b>IENT O</b> suant to sa) of the	Was F CHAN Section 1 Public U	shington, GES IN SECUR 6(a) of th tility Hole	, D.C. 205 BENEFIC RITIES ne Securitie	<b>49</b> CIAL es Ex pany	COWN change Act of	OMMISSION NERSHIP OF e Act of 1934, 1935 or Section 0	OMB Number: Expires: Estimated a burden hou response	•
(Print or Type)	Kesponses)									
LITTLE ROGER G Symb			Symbol	2. Ibbuer Hume und Hener of Huming				5. Relationship of Reporting Person(s) to Issuer		
(Last)	(First) (l	Middle)	3. Date of	f Earliest T	ransaction			(Check	k all applicable	e)
				Month/Day/Year) 06/21/2012				_X_ Director _X_ 10% Owner _X_ Officer (give title Other (specify below) below) Chairman & CEO		
				-				<ul> <li>6. Individual or Joint/Group Filing(Check Applicable Line)</li> <li>_X_ Form filed by One Reporting Person</li> <li> Form filed by More than One Reporting</li> </ul>		
(City)	(State)	(Zip)				•		Person		
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deen Execution any	ned	3. Transactio Code (Instr. 8)	4. Securitie or(A) or Disp (Instr. 3, 4	es Acq bosed o and 5) (A) or	uired of (D)	<b>uired, Disposed of</b> 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
Common				Code V	Amount	(D)	Price			
Stock, \$0.01 par value	12/19/2012			А	441,025	А	\$ 0.78	641,025	Ι	see footnotes $(1)$ $(2)$
Common Stock, \$0.01 par value	12/19/2012			А	58,975	A	\$ 0.69	700,000	Ι	see footnotes $(3)$ $(4)$
Common Stock, \$0.01 par value								2,138,205 <u>(5)</u>	D	

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Common Stock, \$0.01 par value	20,482	Ι	By 401(k) Plan
Common Stock, \$0.01 par value	5,197	Ι	By 401(k) Plan by Spouse

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.

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

1. Title of Derivative	2. Conversion	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if	4. Transactio	5. Mumber	6. Date Exer Expiration D		7. Title and Amount of	8. Price of Derivative	9. Nu Deriv
Security	or Exercise	(Woldin Day Tear)	any	Code	of	(Month/Day		Underlying	Security	Secu
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivativ	· ·		Securities	(Instr. 5)	Bene
	Derivative				Securities	3		(Instr. 3 and 4)		Owne
	Security				Acquired					Follo
					(A) or					Repo
					Disposed					Trans
					of (D)					(Instr
					(Instr. 3,					
					4, and 5)					
								Amount		
						Data	Expiration	or		

Code V (A) (D)	Date Exercisable	Expiration Date	Title	or Number of Shares
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## **Reporting Owners**

Reporting Owner Name / Addre	285	Relationships					
	Director	10% Owner	Officer	Other			
LITTLE ROGER G SPIRE CORPORATION ONE PATRIOTS PARK BEDFORD, MA 01730-239	X 6	Х	Chairman & CEO				
Signatures							
Roger G. Little	12/20/2012						
<u>**</u> Signature of	Date						

**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).

Shares are held by the Spire Corporation Non-Qualified Deferred Compensation Plan Trust for Roger Little (the "Trust"). As previously disclosed, under the Non-Qualified Deferred Compensation Plan, as amended to date, for Mr. Little (the "Plan"), on November 17, 2011, Mr. Little elected (and the Compensation Committee approved such election) to receive aggregate accumulated deferred compensation of \$500,000 for 2010 amd 2011 in shares of common stock, which, based on the closing sale price of the issuer's common stock on the

- (1) s500,000 for 2010 and 2011 in shares of common stock, which, based on the closing sale pice of the issuer's common stock on the election date (\$0.78), was approximately 641,025 shares to be awarded under the 2007 Stock Equity Plan (the "2007 Plan"). Because of the limitations on awards under the 2007 Plan, only 200,000 of such shares were delivered to the Trust in 2011. On May 17, 2012, the shareholders of Spire Corporation approved an amendment to the 2007 Plan to increase the maximum number of shares that may be granted to any one participant during any fiscal year to 500,000 shares.
- (2) On December 19, 2012, the remaining 441,025 shares were delivered to the Trust.

Shares are held by the Trust. On June 21, 2012, Mr. Little elected (and the Compensation Committee approved such election) to receive aggregate accumulated deferred compensation of \$62,500 for the quarter ended September 30, 2012 in shares of common stock, which, based on the closing sale price of the issuer's common stock on the election date (\$0.69), was equal to approximately 90,579 shares to be awarded under the 2007 Plan. On December 19, 2012, because of the limitations on awards under the 2007 Plan, only 58,975 of such

- (3) awarded ander the 2007 run. On December 19, 2012, because of the immutations on awards under the 2007 run, only 50,915 of stern shares were delivered to the Trust. In addition, on August 16, 2012, Mr. Little elected (and the Compensation Committee approved such election) to receive aggregate accumulated deferred compensation of \$62,500 for the quarter ended December 31, 2012 in shares of common stock, which based on the closing sale price of the issuer's common stock on the election date (\$0.55), is equal to approximately 113,363 shares.
- (4) Because of limitations on awards under the 2007 Plan, none of these shares have been delivered to the Trust.
- (5) Includes 2,109,305 shares of common stock in the Roger G. Little Family Trust of which Mr. Little is the primary beneficiary.

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.