Edgar Filing: Energous Corp - Form 4

| Energous Corp Form 4 | _ | | | | | | | | | |
|---|--|---|---|------------------------|----------------|------------------------------------|--|--|---|--|
| FORM 4 | 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 | | | | | | | | OMB APPROVAL OMB 3235-0287 Number: | |
| Check this be if no longer subject to Section 16. Form 4 or Form 5 obligations may continue <i>See</i> Instruction 1(b). | STATEMI Filed pursu | 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 | | | | | | | Expires: January 31, 2005 Estimated average burden hours per response 0.5 | |
| (Print or Type Resp | oonses) | | | | | | | | | |
| Sereda Brian J Sy | | | 2. Issuer Name and Ticker or Trading Symbol Energous Corp [WATT] | | | | 5. Relationship of Reporting Person(s) to Issuer | | | |
| (Last) C/O ENERGOU CORPORATIC FIRST STREE' | (Month/Da 12/30/20 | 3. Date of Earliest Transaction (Month/Day/Year) 12/30/2016 | | | | (Check all applicable) <u> </u> | | | | |
| (Street) 4. If Amend Filed(Month SAN JOSE, CA 95134 | | | ndment, Date Original h/Day/Year) | | | | 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person | | | |
| (City) | (State) (Z | Zip) Table | e I - Non-De | erivative S | ecuri | ties Ac | quired, Disposed of | f, or Beneficial | lly Owned | |
| | Transaction Date Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transactio Code (Instr. 8) Code V | Disposed (Instr. 3, | (A) o of (D |) | 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) | |
| Common 12 Stock 12 | 2/30/2016 | | M | 387 <u>(1)</u> | | \$ 0 | 69,684 <u>(3)</u> | D | | |

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)

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| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 4. Transacti Code (Instr. 8) | 5. Number orof 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. P Der Secu (Ins |
|---|---|---|---------------------------------------|--|--|--------------------|---|--|-----------------------------|
| | | | Code V | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | |
| Performance Stock Unit | <u>(1)</u> | 12/30/2016 | М | 387 | (2) | (2) | Common Stock | 387 | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | |
|--|---------------|-----------|----------------------------|-------|--|--|
| | Director | 10% Owner | Officer | Other | | |
| Sereda Brian J C/O ENERGOUS CORPORATION 3590 NORTH FIRST STREET, SUITE 210 SAN JOSE, CA 95134 | | | Vice President & CFO | | | |
| Clausetures | | | | | | |

Signatures

/s/ Bill Mannina, Attorney-in-Fact

**Signature of Reporting Person

01/06/2017

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) Each performance share unit ("PSU") represents a contingent right to receive one share of common stock.

Represents a PSU granted on May 21, 2015 pursuant to the Company's 2015 Performance Share Unit Plan and partially earned on (2) December 30, 2016 based on the satisfaction of certain performance-based vesting requirements. 50% of any shares earned shall be deferred and paid after December 31, 2018, subject to the reporting person's continued service with the Issuer.

(3) Includes 605 shares acquired under the issuer's employee stock purchase plan on December 30, 2016.

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.