TECOGEN INC. Form 3
October 01, 2013

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

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response...

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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 Addr MAXWELI	^	_	2. Date of Event Requiring Statement	3. Issuer Name and Ticker or Trading Symbol TECOGEN INC. [TGEN]					
(Last)	(First)	(Middle)	(Month/Day/Year) 10/01/2013	4. Relationship of Reporting Person(s) to Issuer			5. If Amendment, Date Original Filed(Month/Day/Year)		
7 MIDLAND A	AVENUE	,		(Ch	aalt all ammliaal	hla)			
	(Street)			(CII	eck all applical	oie)	6. Individual or Joint/Group		
BRONXVILLE, NY 10708-4814				_X_ Director10% OwnerOfficerOther (give title below) (specify below)			Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person		
(City)	(State)	(Zip)	Table I - N	Non-Deriv	vative Secur	rities B	eneficially Owned		
1.Title of Security (Instr. 4)			2. Amount of S Beneficially O (Instr. 4)		3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Natu Owner (Instr.	*		
Common Stock		75,000		D Â					
Reminder: Report owned directly or i	•	te line for each c	lass of securities beneficial	lly	SEC 1473 (7-0	2)			
	informa	ation containe	d to the collection of d in this form are not unless the form display	/s a					

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

currently valid OMB control number.

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		4. Conversion or Exercise	5. Ownership Form of	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	(Instr. 4) Title	Amount or Number of Shares	Derivative Security	· · · · · · · · · · · · · · · · · · ·	

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(Instr. 5)

Stock Options (Right to Buy) $\hat{A} \stackrel{(1)}{=} 02/14/2021 \stackrel{Common}{Stock} 25,000 2.6 D \hat{A}

Reporting Owners

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

MAXWELL CHARLEST
7 MIDLAND AVENUE Â X Â Â
BRONXVILLE, NYÂ 10708-4814

Signatures

/s/ Charles T.

Maxwell 10/01/2013

**Signature of Date
Reporting Person

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 becomes exercisable in four equal installments on February 15, 2012, 2013, 2014 and 2015.

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.

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