

LUNA INNOVATIONS INC  
Form 3  
June 02, 2006

# 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 \*

Plowman C Benson

(Last) (First) (Middle)

C/O LUNA INNOVATIONS  
INCORPORATED, 2851  
COMMERCE STREET

(Street)

BLACKSBURG, VA 24060

(City) (State) (Zip)

2. Date of Event Requiring  
Statement

(Month/Day/Year)

06/02/2006

3. Issuer Name and Ticker or Trading Symbol  
LUNA INNOVATIONS INC [LUNA]

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)  
VP Sales

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)

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

SEC 1473 (7-02)

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information contained in this form are not  
required to respond unless the form displays a  
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### 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

4. Conversion  
or Exercise  
Price of  
Derivative  
Security

5. Ownership  
Form of  
Derivative  
Security:  
Direct (D)

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

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				Shares		or Indirect (I) (Instr. 5)	
Employee Stock Options (Right to Buy)	Â (1)	09/22/2013	Common Stock	36,740	\$ 0.3538	D	Â
Employee Stock Options (Right to Buy)	Â (2)	04/26/2015	Common Stock	14,131	\$ 0.3538	D	Â
Employee Stock Options (Right to Buy)	Â (3)	05/20/2016	Common Stock	203,483	\$ 0.3538	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Plowman C Benson C/O LUNA INNOVATIONS INCORPORATED 2851 COMMERCE STREET BLACKSBURG, VA 24060	Â	Â	Â VP Sales	Â

## Signatures

/s/ Aaron S. Hullman, Esq.,  
Attorney-in-Fact

06/02/2006

\_\_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) 1/4 of the option shares became exercisable on September 22, 2004. The remaining option shares are exercisable at a rate of 1/36 per month thereafter.
- (2) 1/4 of the option shares became exercisable on January 1, 2006. The remaining option shares are exercisable at a rate of 1/36 per month thereafter.
- (3) 1/4 of the option shares became exercisable on May 20, 2006. The remaining option shares are exercisable at a rate of 1/36 per month thereafter.

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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