SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this box if no longer subject to
Section 16. Form 4 or Form 5
obligations may continue. See
Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed purculant to Section 16(a) of the Securities Evolution Act of 1024

OMB APPRC	VAL				
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1. Name and Address of Reporting Person [*] Papastavrou Jason D							Name Logis								(Che	elationship c eck all applic X Directo	able)	ng Pers	on(s) to Iss 10% O	
	ER WEAL	First) TH MANAGEM	_		3. Da 12/1			st Tran	nsact	tion (Mo	onth/E	Day/Year)			Officer below)	(give title		Other (below)	specify
152 W. 5	0/IH SIRE	EET, 19TH FLOO	JR		4. If A	Ame	endmen	t, Date	of O	Driginal	Filed	(Month/I	Day/Ye	ear)	6. In Line	dividual or J)	oint/Grou	p Filing	(Check Ap	plicable
(Street) NEW YO	ORK N	ĮΥ	10019													X Form fi	iled by Mo		orting Perso I One Repo	
(City)	(5	State)	(Zip)																	
		Та	ble I - Non	n-Deriva	ative	Se	ecuriti	es Ao	cqu	ired,	Dis	posed	of, c	or Ben	eficially	y Owned				
1. Title of Security (Instr. 3) Date				2. Transa Date (Month/Da	Execution Date		on Date	Code (Instr.						Securities Beneficial	5. Amount of Securities Beneficially Owned Following Benorted		Direct Indirect	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
Common Stock, par value \$0.001 per share										Code	v	Amoun	t	(A) or (D)	Price	Transactio				(iii)(ii 4)
Common	Stock, par	value \$0.001 pe	r share													7,5	00		D	
Common	Stock, par	value \$0.001 pe	r share													1,3	75			See footnote ⁽¹⁾
			Table II - I (Derivat (e.g., pເ												Owned				
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Da if any (Month/Day/)	Co	ansactio de (Ins		5. Nun of Deriva Securi Acqui (A) or Dispos of (D) (Instr. and 5)	tive ities red sed 3, 4	Expir (Mon	ate Exer iration D nth/Day/	Pate Year)		Secu Deriv	rities Un ative Se . 3 and 4) nount or	8. Price of Derivative Security (Instr. 5)	9. Numb derivati Securiti Benefic Owned Followir Reporte Transac (Instr. 4)	ve es ially ng d tion(s)	y Ownership Form: Be Direct (D) Ov or Indirect (In (I) (Instr. 4)	
			Co	de V	,	(A)		Date	e rcisable		piration te	Title		Imber of lares						

			Code	v	(A)	(D)	Date Exercisable	Date	Title	Number of Shares				
Restricted Stock Units	(12)	12/11/2012	 A		2,500		(2)	(2)	Common Stock, par value \$0.001 per share	2,500	\$0	5,000 ⁽³⁾	D	
Director Stock Options (right to buy)	\$16.74	12/11/2012	A		8,000		(4)	12/11/2022	Common Stock, par value \$0.001 per share	8,000	\$0	8,000	D	
Director Stock Options (right to buy)	\$9.28						09/02/2012	11/21/2021	Common Stock, par value \$0.001 per share	8,000		8,000	D	
See footnote ⁽⁵⁾	\$7 ⁽⁶⁾						09/02/2011	(7)	Common Stock, par value \$0.001 per share	92,857 ⁽⁸⁾		650	I	See footnote ⁽⁹⁾
Warrants	\$7 ⁽¹⁰⁾						09/02/2011	09/02/2021	Common Stock, par value \$0.001 per share	92,857(11)		92,857	I	See footnote ⁽⁹⁾

Explanation of Responses:

1. The Brett A. Athans Declaration of Trust is the direct beneficial owner of these securities. Jason D. Papastavrou is the trustee of the Brett A. Athans Declaration of Trust.

2. The Restricted Stock Units shall vest on December 11, 2013, subject to the Reporting Person's continued service as a director of the Issuer.

3. These Restricted Stock Units may have different vesting and settlement dates.

4. The Director Stock Options shall vest and become exercisable on December 11, 2013, subject to the Reporting Person's continued service as a director of the Issuer.

5. Series A Convertible Perpetual Preferred Stock, par value \$0.001 per share.

6. The initial conversion price of the Series A Convertible Perpetual Preferred Stock is \$7 per share of Common Stock, subject to adjustment as set forth in the Certificate of Designation of Series A Convertible Perpetual Preferred Stock, filed as Exhibit 4.1 to the Issuer's Current Report on Form 8-K filed with the SEC on September 6, 2011 (the "Certificate of Designation").

7. The Series A Convertible Perpetual Preferred Stock has no expiration date.

8. Represents 92,857 shares of Common Stock initially issuable upon conversion of 650 shares of Series A Convertible Perpetual Preferred Stock, subject to adjustment as set forth in the Certificate of Designation. 9. Springer Wealth Management LLC is the direct beneficial owner of these securities. Jason D. Papastavrou is the owner of 100% of the equity interests of Springer Wealth Management LLC.

10. The initial exercise price of the Warrants is \$7 per share of Common Stock, subject to adjustment as set forth in the Form of Warrant Certificate, filed as Exhibit 4.2 to the Issuer's Current Report on Form 8-K filed with the SEC on September 6, 2011 (the "Warrant Certificate").

11. Represents 92,857 shares of Common Stock initially issuable upon the exercise of 92,857 Warrants, subject to adjustment as set forth in the Warrant Certificate.

12. Each Restricted Stock Unit represents a contingent right to receive, upon settlement, either (i) one share of Common Stock or (ii) a cash payment equal to the fair market value of one share of Common Stock.

Gordon E. Devens, Attorney in Fact 12/13/2012

** Signature of Reporting Person Date

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

 * 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.