## Edgar Filing: AWM Investment Company, Inc. - Form 4

AWM Investment Company, Inc. Form 4

August 30,	2017											
FORM	ЛД	UNITED STATES SECURITIES AND EXCHANGE COMMISSION								OMB APPROVAL		
UNITED STATES S								COMMISSION	OMB Number:	3235-0287		
Check t if no lor subject Section Form 4	to <b>STATEN</b> 16.	STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES								Expires: January 31 2005 Estimated average burden hours per response 0.5		
Form 5 obligati may con <i>See</i> Inst 1(b).	ons ntinue. Section 170	(a) of the l	Public U		lding Co	ompa	ny Act of	e Act of 1934, f 1935 or Sectio 40				
(Print or Type	Responses)											
1. Name and Address of Reporting Person <u>*</u> AWM Investment Company, Inc.			2. Issuer Name <b>and</b> Ticker or Trading Symbol					5. Relationship of Reporting Person(s) to Issuer				
(Last)					(Che	heck all applicable)						
527 MADISON AVENUE, SUITE 2600			(Month/Day/Year) 08/28/2017					Director     _X_ 10% Owner       Officer (give title below)     Other (specify below)				
(Street)			4. If Amendment, Date Original Filed(Month/Day/Year)					<ul> <li>6. Individual or Joint/Group Filing(Check</li> <li>Applicable Line)</li> <li>_X_ Form filed by One Reporting Person</li> </ul>				
NEW YOR	RK, NY 10022							Form filed by Person	More than One	Reporting		
(City)	(State)	(Zip)	Tal	ble I - Non-	Derivativ	ve Seci	urities Acq	uired, Disposed o	of, or Benefic	cially Owned		
1.Title of Security2. Transaction Date (Month/Day/Year)2A. Deemed Execution Date, if any (Month/Day/Year)		3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)				5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I)	7. Nature of Indirect Beneficial Ownership (Instr. 4)				
Common				Code V	Amount	(A) or (D)	Price \$ 7.42	•	(Instr. 4)	By Limited		
Stock	08/28/2017			S	100	D	(1)	314,219	Ι	Partnerships		
Common Stock	08/29/2017			S	1,600	D	\$ 7.4287	312,619	I	By Limited Partnerships		

(1) By Limited Common \$ 7.41 600 <u>(2)</u> D I (2) 08/30/2017 S 312,019 (2) Partnerships Stock (1) (2)

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

Persons who respond to the collection of SEC 1474 information contained in this form are not

(9-02)

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# 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 Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	4. Transactio Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	7. Titl Amou Under Secur (Instr.	ınt of rlying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owno Follo Repo Trans (Instr
			Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

## **Reporting Owners**

<b>Reporting Owner Name / Address</b>		Relationships						
1	Director	10% Owner	Officer	Other				
AWM Investment Company, Inc 527 MADISON AVENUE SUITE 2600 NEW YORK, NY 10022	2.	Х						
Signatures								
Adam C.	20/2017							

 
 Adam C.
 08/30/2017

 Stettner
 08/30/2017

 <u>\*\*</u>Signature of Reporting Person
 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) This is weighted average price.

AWM Investment Company, Inc., a Delaware Corporation (AWM), is the investment adviser to Special Situations Fund III QP, L.P. (QP), Special Situations Cayman Fund, L.P. (CAYMAN) and Special Situations Private Equity Fund, L.P. (PE) & together with QP & CAYMAN, the Funds). As the investment adviser to the Funds, AWM holds sole voting & investment power over 206,588 shares of Common Stock of the Issuer (the Shares) held by QP, 61,060 Shares held by CAYMAN & 44,371 Shares held by PE. Austin W. Marxe

(2) (Marxe), David M. Greenhouse (Greenhouse) & Adam C. Stettner (Stettner) are the controlling principals of AWM. The reporting person disclaims beneficial ownership of the Shares, except to the extent of its pecuniary interest therein. This report shall not be deemed an admission that the reporting person is the beneficial owner of the securities reported herein for purposes of Section 16 of the Securities Exchange Act of 1934, as amended, or for any other purpose.

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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