## Edgar Filing: LUNA INNOVATIONS INC - Form 4

LUNA INNC Form 4 May 23, 200'	OVATIONS IN	NC									
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FORM 4 UNITED STATES SECURITIES AND EXCHA Washington, D.C. 20549							IGE C	OMMISSION	OMB Number:	3235-0287	
Check thi if no long subject to Section 10 Form 4 ou Form 5 obligatior may conti <i>See</i> Instru 1(b).	6. Filed J Section 1	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								Expires: January 31, 2005 Estimated average burden hours per response 0.5	
(Print or Type R	Responses)										
1. Name and Address of Reporting Person <u>*</u> Engebritson Lori D			2. Issuer Name <b>and</b> Ticker or Trading Symbol LUNA INNOVATIONS INC [LUNA]					5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
INCORPOR	(First) INNOVATIO ATED, 1703 N STREET SV	S.	3. Date of (Month/D 05/21/20	•	nsaction			Director X Officer (give below) VP Hu		Owner er (specify s	
				ndment, Date Original th/Day/Year)				6. Individual or Joint/Group Filing(Check Applicable Line) _X_Form filed by One Reporting Person			
ROANOKE	, VA 24016							Form filed by M Person	lore than One Re	porting	
(City)	(State)	(Zip)	Table	e I - Non-De	erivative S	ecurit	ies Acq	uired, Disposed of	, or Beneficial	ly Owned	
1.Title of Security (Instr. 3)	any		med n Date, if Day/Year)	3. Transaction Code (Instr. 8)	ransaction(A) or Disposed of (D) ode (Instr. 3, 4 and 5)		5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
Common Stock	05/21/2007			Code V M <sup>(2)</sup>	Amount 10,958	(D) A	Price \$ 0.35	(Instr. 3 and 4) 10,958	D		
Common Stock	05/21/2007			S <u>(2)</u>	10,958	D	\$ 5.2	0	D		

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

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#### 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)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transactic Code (Instr. 8)	5. Number of orDerivative 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 Underlying Securitie (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amou or Numb of Sha
Employee Stock Option (right to buy)	\$ 0.35	05/21/2007		М	10,958	09/22/2005 <u>(1)</u>	09/22/2013	Common Stock	10,9

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
Engebritson Lori D						
C/O LUNA INNOVATIONS, INCORPORATED			VP Human			
1703 S. JEFFERSON STREET SW, SUITE 400			Resources			
ROANOKE, VA 24016						
Signatures						
/s/ Aaron S. Hullman						

huiinan, 05/23/2007 attorney-in-fact Date

\*\*Signature of Reporting Person

## **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). \*\*
- 50% of the option shares became exercisable immediately upon issue, the remaining 50% became exercisable on 9/22/2005. (1)
- The sales reported on this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on November 30, (2)2006.

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.