### Edgar Filing: NIERENBERG INVESTMENT MANAGEMENT CO - Form 4

#### NIERENBERG INVESTMENT MANAGEMENT CO

Form 4

March 20, 2009

# FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

OMB Number:

3235-0287

Expires:

5 Relationship of Reporting Person(s) to

\_X\_ Form filed by More than One Reporting

Person

January 31, 2005

0.5

Estimated average burden hours per

**OMB APPROVAL** 

response...

if no longer subject to Section 16. Form 4 or Form 5 obligations may continue.

Check this box

**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

1(b).

(Print or Type Responses)

1 Name and Address of Reporting Person \*

(State)

(Zin

See Instruction

NIERENBER	G INVEST	_	Symbol	Issuer			
MANAGEMENT CO			ELECTRO SCIENTIFIC INDUSTRIES INC [ESIO]	(Check all applicable)			
(Last)	(First)	(Middle)	3. Date of Earliest Transaction	DirectorX 10% Owner Officer (give title Other (specify			
19605 NE 8TH STREET			(Month/Day/Year) 03/18/2009	below) below)			
(Street)			4. If Amendment, Date Original	6. Individual or Joint/Group Filing(Chec			
			Filed(Month/Day/Year)	Applicable Line) Form filed by One Reporting Person			

## **CAMAS, WA 98607**

(City)

(City)	(State) (	Table	e I - Non-D	erivative S	Securi	ties Acq	uired, Disposed o	f, or Beneficial	ly Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securit on(A) or Dis (Instr. 3, 4)	sposed	of (D)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock	03/18/2009		S	16,000		\$ 6.06	582,762 (1)	I	By The D3 Family Fund, LP
Common Stock	03/18/2009		S	39,000	D	\$ 6.06	607,294 (1)	I	By The DIII Offshore Fund, LP
Common Stock	03/19/2009		S	13,323	D	\$ 6.14	569,439 (1)	I	By The D3 Family Fund, LP
	03/19/2009		S	12,000	D		595,294 (1)	I	

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Common Stock					\$ 6.14			By The DIII Offshore Fund, LP		
Common Stock	03/20/2009	S	5,200	D	\$ 6.01	590,094 (1)	I	By The DIII Offshore Fund, LP		
Common Stock						2,414,476 (1)	I	By The D3 Family Bulldog Fund, LP		
Common Stock						232,475 (1)	I	By The D3 Family Canadian Fund, LP		
Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.										

SEC 1474 Persons who respond to the collection of information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

> 9. Nu Deriv Secu Bene Own Follo Repo Trans (Insti

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

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	isable and	7. Titl	e and	8. Price of
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transact	iorNumber	Expiration Da	ate	Amou	nt of	Derivative
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Under	lying	Security
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Securi	ities	(Instr. 5)
	Derivative				Securities			(Instr.	3 and 4)	
	Security				Acquired					
					(A) or					
					Disposed					
					of (D)					
					(Instr. 3,					
					4, and 5)					
									Amount	
									or	
						Date	Expiration	Title	Number	
						Exercisable	Date	1100	of	
				Code V	(A) (D)				Shares	
				Couc v	(II) $(D)$				Silaics	

# **Reporting Owners**

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
NIERENBERG INVESTMENT MANAGEMENT CO 19605 NE 8TH STREET		X					

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**CAMAS, WA 98607** 

Nierenberg Investment Management Offshore Inc

19605 NE 8TH STREET X

**CAMAS, WA 98607** 

D3 FAMILY FUND LP

19605 NE 8TH STREET X

CAMAS, WA 98607

DIII OFFSHORE FUND LP

19605 NE 8TH STREET X

CAMAS, WA 98607

NIERENBERG DAVID

19605 NE 8TH STREET X

**CAMAS, WA 98607** 

# **Signatures**

David Nierenberg, President, Nierenberg Investment Management Company, Inc.

(NIMCO) 03/20/2009

\*\*Signature of Reporting Person Date

David Nierenberg, President, Nierenberg Investment Management Offshore, Inc.

(NIMO) 03/20/2009

\*\*Signature of Reporting Person Date

David Nierenberg, Preisdent, NIMCO, General Partner of The D3 Family Fund, L.P. 03/20/2009

\*\*Signature of Reporting Person Date

David Nierenberg, Preisdent, NIMO, General Partner of The DIII Offshore Fund, L.P. 03/20/2009

\*\*Signature of Reporting Person Date

David Nierenberg 03/20/2009

\*\*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) Each of the reporting persons disclaims beneficial ownership of these securities except to the extent of the reporting person's pecuniary interest therein.

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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