Edgar Filing: RICHARDSON ELECTRONICS LTD/DE - Form 4

RICHARDSON ELECTRONICS LTD/DE Form 4 November 12, 2013 OMB APPROVAL FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION OMB 3235-0287 Washington, D.C. 20549 Number: Check this box January 31, Expires: if no longer 2005 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF subject to Estimated average **SECURITIES** Section 16. burden hours per Form 4 or response... 0.5 Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person * 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading **Dudek James** Issuer Symbol **RICHARDSON ELECTRONICS** (Check all applicable) LTD/DE [RELL] (Last) (First) (Middle) 3. Date of Earliest Transaction Director 10% Owner Other (specify X_Officer (give title (Month/Day/Year) below) below) 40W267 KESLINGER ROAD 11/07/2013 Controller & Chief Accounting (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting LAFOX, IL 60147 Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired 5. Amount of 6. 7. Nature of Security (Month/Day/Year) Execution Date, if Transaction(A) or Disposed of (D) Securities Ownership Indirect (Instr. 3) any Code (Instr. 3, 4 and 5) Beneficially Form: Direct Beneficial Ownership (Month/Day/Year) Owned (D) or (Instr. 8) Following Indirect (I) (Instr. 4) Reported (Instr. 4) (A) Transaction(s) or (Instr. 3 and 4) Code V Amount (D) Price Common 11/07/2013 Μ 1,000 Α \$ 6.23 2,003 D Stock Common 11/07/2013 2,000 4,003 D Μ Α \$ 5.03 Stock Common 11/07/2013 2.200 Α \$ 5.67 D Μ 6,203 Stock Common 11/07/2013 S 1.000 D 5,203 D

S

2,500

D

11.115

\$11.05 2,703

D

Stock

Stock

Common

11/07/2013

Edgar Filing: RICHARDSON ELECTRONICS LTD/DE - Form 4

Common Stock	11/07/2013	S	292	D	\$ 11.051 2,411	D
Common Stock	11/07/2013	S	621	D	\$ 11.091 1,790	D
Common Stock	11/07/2013	S	687	D	\$ 11.09 1,103	D
Common Stock	11/07/2013	S	100	D	\$ 11.115 ^{1,003}	D

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

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 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)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transacti Code (Instr. 8)	onof D Secu Acqu (A) o Disp (D)	rities uired or osed of r. 3, 4,	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount o Underlying Securities (Instr. 3 and 4)	
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amoun or Numbe of Shares
Employee stock option (right to buy)	\$ 6.23	11/07/2013		М		1,000	12/17/2008 <u>(1)</u>	12/17/2017	Common Stock	1,000
Employee stock option (right to buy)	\$ 5.03	11/07/2013		М		2,000	10/21/2009 <u>(2)</u>	10/21/2018	Common Stock	2,000
Employee Stock Option (Right to Buy)	\$ 5.67	11/07/2013		М		2,200	10/13/2010 <u>(3)</u>	10/13/2019	Common Stock	2,200

Reporting Owners

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
Dudek James 40W267 KESLINGER ROAD LAFOX, IL 60147			Controller & Chief Accounting				
Signatures							
Kathleen S. Dvorak, attorney-in	n-fact for .	James M.					
Dudek, Jr.			11/11/2013				
**Signature of Reporting Person			Date				
Explanation of Re	spon	ses:					

* 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) Partial exercise of an employee stock option of which 1,000 shares vested on December 17, 2008, 2009, 2010, 2011, 2012.

(2) Partial exercise of an employee stock option of which 1,000 shares vested on October 21, 2009, 2010, 2011, 2012, 2013.

(3) Partial exercise of an employee stock option of which 1,000 shares vested on October 13, 2010, 2011, 2012, 2013, 2014.

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.