

BSQUARE CORP /WA

Form 3/A

April 30, 2014

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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
30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person *

Â Caldwell Scott Bruce

(Last) (First) (Middle)

110 - 110TH AVE., NE, SUITE
300

(Street)

BELLEVUE,Â WAÂ 98004

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

04/23/2014

3. Issuer Name and Ticker or Trading Symbol
BSQUARE CORP /WA [BSQR]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer ☐ Other
(give title below) (specify below)
VP WW OEM Sales

5. If Amendment, Date Original Filed(Month/Day/Year)

04/29/2014

6. Individual or Joint/Group Filing(Check Applicable Line)
☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting Person

Table I - Non-Derivative Securities Beneficially Owned1. Title of Security
(Instr. 4)2. Amount of Securities Beneficially Owned
(Instr. 4)3. Ownership Form:
Direct (D)
or Indirect (I)
(Instr. 5)4. Nature of Indirect Beneficial Ownership
(Instr. 5)

Common Stock

17,832 ⁽¹⁾

D Â

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

SEC 1473 (7-02)

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Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)1. Title of Derivative Security
(Instr. 4)2. Date Exercisable and Expiration Date
(Month/Day/Year)3. Title and Amount of Securities Underlying Derivative Security
(Instr. 4)
Title

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:
Direct (D)6. Nature of Indirect Beneficial Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Stock Option (right to buy)	Â (2)	07/25/2015	Common Stock	1,250	\$ 2.32	D	Â
Stock Option (right to buy)	Â (3)	12/15/2015	Common Stock	5,000	\$ 3.07	D	Â
Stock Option (right to buy)	Â (4)	11/13/2016	Common Stock	5,000	\$ 2.17	D	Â
Stock Option (right to buy)	Â (5)	10/02/2019	Common Stock	10,000	\$ 2.41	D	Â
Stock Option (right to buy)	Â (6)	01/07/2017	Common Stock	7,500	\$ 3.11	D	Â
Stock Option (right to buy)	Â (7)	02/26/2024	Common Stock	30,000	\$ 3.32	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Caldwell Scott Bruce 110 - 110TH AVE., NE, SUITE 300 BELLEVUE, WA 98004	Â	Â	Â VP WW OEM Sales	Â

Signatures

/s/ Scott Bruce
Caldwell

04/30/2014

__Signature of
Reporting Person

Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 5(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).
- Includes two Restricted Stock Unit awards as follows: (1) One granted on December 10, 2010 that vests 25% on the first year anniversary of grant date and quarterly in equal installments thereafter over a three year period. This grant is unvested as to 429 shares as of the date of this filing. (2) The second granted September 11, 2012 and vests annually in equal installments over a four year period. This grant is unvested as to 7,500 shares as of the date of this filing.
- (1) On July 25, 2009 the options became exercisable as to all 1,250 shares.
- (2) On December 15, 2009 the options became exercisable as to all 5,000 shares.
- (3) On November 13, 2010 the options became exercisable as to all 5,000 shares.
- (4) On October 2, 2013 the options became exercisable as to all 10,000 shares.
- (5) Beginning on April 7, 2013 and quarterly thereafter, the option vests in equal amounts over a four year period. As of the date of this filing 2,344 shares have vested.
- (6) On February 26, 2015, 33% vest and thereafter the options vest monthly in equal amounts over a two year period.
- (7)

Â

Remarks:

ThisÂ amendmentÂ isÂ beingÂ filedÂ toÂ includeÂ informationÂ thatÂ wasÂ inadvertentlyÂ omittedÂ fromÂ theÂ original

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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