TECOGEN INC. Form 3 October 01, 2013

#### 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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement TECOGEN INC. [TGEN] À HATSOPOULOS GEORGE (Month/Day/Year) 10/01/2013 N (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 233 TOWER ROAD (Check all applicable) (Street) 6. Individual or Joint/Group Filing(Check Applicable Line) \_X\_\_ Director \_X\_ 10% Owner \_ Form filed by One Reporting Officer Other Person LINCOLN, MAÂ 01773 (give title below) (specify below) \_X\_ Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 1. Title of Security 2. Amount of Securities 4. Nature of Indirect Beneficial Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Â Common Stock D 1,225,714 Common Stock 2,250,000 I See footnote (1) Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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 Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| (Instr. 4) Ex | Date Exercisable and xpiration Date fonth/Day/Year) | 3. Title and Amount of<br>Securities Underlying<br>Derivative Security<br>(Instr. 4) | 4.<br>Conversion<br>or Exercise<br>Price of | 5.<br>Ownership<br>Form of<br>Derivative | 6. Nature of Indirect<br>Beneficial<br>Ownership<br>(Instr. 5) |
|---------------|---|--|---|--|--|
|---------------|---|--|---|--|--|

### Edgar Filing: TECOGEN INC. - Form 3

|                                    | Date<br>Exercisable | Expiration<br>Date | Title           | Amount or<br>Number of<br>Shares | Derivative<br>Security | Security:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 5) |   |
|------------------------------------|---------------------|--------------------|-----------------|----------------------------------|------------------------|---|---|
| 6% Convertible Debentures Due 2013 | 09/24/2001          | 10/31/2013         | Common<br>Stock | 75,806                           | \$ 1.2                 | D   | Â |

## **Reporting Owners**

| Reporting Owner Name / Address                                       | Relationships |           |         |      |  |
|--|---------------|-----------|---------|------|--|
|  | Director      | 10% Owner | Officer | Othe |  |
| HATSOPOULOS GEORGE N<br>233 TOWER ROAD<br>LINCOLN, MA 01773          | ÂX            | ÂX        | Â       | Â    |  |
| HATSOPOULOS FAMILY 2012 TRUST<br>233 TOWER ROAD<br>LINCOLN, MA 01773 | Â             | ÂX        | Â       | Â    |  |

## **Signatures**

| 9.19.10.10.1  |            |
|---|------------|
| /s/ George N. Hatsopoulos   | 10/01/2013 |
| **Signature of Reporting Person                                     | Date       |
| /s/ L. Joseph Comeau, Trustee, The Hatsopoulos Family 2012<br>Trust | 10/01/2013 |
| **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).
- By the Hatsopoulos Family 2012 Trust. George N. Hatsopoulos disclaims beneficial ownership of these securities, except to the extent of any pecuniary interest he may be deemed to have in such shares, and the inclusion of these shares in this report shall not be deemed an admission of beneficial ownership of all of the reported shares for purposes of Section 16 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. 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.

Reporting Owners 2