Gevo, Inc. Form 4 April 10, 2014

# FORM 4

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

Check this box if no longer

subject to Section 16. Form 4 or

Form 5 obligations

may continue. See Instruction 1(b).

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

30(h) of the Investment Company Act of 1940

Gevo, Inc. [GEVO]

(Month/Day/Year)

04/08/2014

3. Date of Earliest Transaction

(Print or Type Responses)

1. Name and Address of Reporting Person \* Willis Mike

(Last)

(First)

(Middle)

(Street)

SOUTH, BUILDING C, SUITE 310

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

ENGLEWOOD, CO 80112

345 INVERNESS DRIVE

5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading Issuer Symbol

(Check all applicable)

Director 10% Owner

X\_ Officer (give title Other (specify below) below) **CFO** 

6. Individual or Joint/Group Filing(Check Applicable Line) \_X\_ Form filed by One Reporting Person

Form filed by More than One Reporting Person

(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) (Instr. 3)

3. Execution Date, if Code (Month/Day/Year)

TransactionAcquired (A) or (Instr. 8)

Disposed of (D) (Instr. 3, 4 and 5)

4. Securities

5. Amount of Securities Beneficially Owned Following Reported

6. Ownership Form: Direct (I) (Instr. 4)

7. Nature of Indirect (D) or Indirect Beneficial Ownership (Instr. 4)

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

OMB

Number:

Expires:

response...

Estimated average

burden hours per

(A) Transaction(s) (Instr. 3 and 4) Code V Amount (D) Price

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)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

Conversion or Exercise

3. Transaction Date 3A. Deemed (Month/Day/Year) Execution Date, if

any

4. 5. Number of **Transaction**Derivative Code Securities

6. Date Exercisable and **Expiration Date** (Month/Day/Year)

7. Title and Amour **Underlying Securit** (Instr. 3 and 4)

#### Edgar Filing: Gevo, Inc. - Form 4

(Instr. 3)	Price of Derivative Security		(Month/Day/Year)	(Instr. 8)	Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)					
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amo or Num of Sh
Non-Qualified Stock Option (right-to-buy)	\$ 1.18	04/08/2014		A	60,000		<u>(1)</u>	04/08/2024	Common Stock	60,0
Non-Qualified Stock Option (right-to-buy)	\$ 1.18	04/08/2014		A	26,882		(2)	04/08/2024	Common Stock	26,8

## **Reporting Owners**

Reporting Owner Name / Address	Ktiationships						
	Director	10% Owner	Officer	Other			

Willis Mike 345 INVERNESS DRIVE SOUTH BUILDING C, SUITE 310 ENGLEWOOD, CO 80112

**CFO** 

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## **Signatures**

/s/ Brett Lund, Attorney-in-fact 04/10/2014

\*\*Signature of Reporting Person Da

## **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).
- This option was granted on April 8, 2014, subject to the execution of a new offer letter agreement with Mr. Willis, and is exercisable as (1) the option vests. The shares subject to this option vest in equal monthly installments over three years beginning retroactively to September 5, 2013, the date Mr. Willis became Interim Chief Financial Officer.
- This option was granted on April 8, 2014, subject to the execution of a new offer letter agreement with Mr. Willis, and is exercisable as (2) the option vests. The shares subject to this option vest in equal monthly installments over three years beginning retroactively to March 12, 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.

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