O'Connell Carl Form 3/A April 30, 2013

## FORM 3

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

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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

1375 KINGS HIGHWAY

Person \*

O'Connell Carl

(Last)

EAST, SUITE 400

(First)

(Street)

(Middle)

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

Statement

(Month/Day/Year)

10/25/2012

4. Relationship of Reporting

Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

04/15/2013

(Check all applicable)

**CEO** 

\_X\_ Director \_X\_\_ Officer

10% Owner \_ Other (give title below) (specify below)

COMPETITIVE TECHNOLOGIES INC [CTTC]

6. Individual or Joint/Group Filing(Check Applicable Line)

\_X\_ Form filed by One Reporting Person

Form filed by More than One

Reporting Person

FAIRFIELD, CTÂ 06824

(City) (State) (Zip)

1. Title of Security (Instr. 4)

Table I - Non-Derivative Securities Beneficially Owned

2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership

4. Nature of Indirect Beneficial Ownership (Instr. 5)

Form: Direct (D) or Indirect (I)

(Instr. 5)

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

SEC 1473 (7-02)

4.

Price of

Security

Derivative

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

Title

(Instr. 4)

1. Title of Derivative Security 2. Date Exercisable and **Expiration Date** (Month/Day/Year)

> Date Expiration

> > Date

Exercisable

3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)

Amount or Number of

5. Conversion Ownership or Exercise Form of Derivative

6. Nature of Indirect Beneficial Ownership

(Instr. 5)

Security: Direct (D) or Indirect (I)

Shares

1

(Instr. 5)

2012 Dir., Off., Employees and Consultants Stock Option

02/01/2013 01/31/2018 Common Stock

ÂX

1,000,000

Other

\$ 0.5

D Â

**Reporting Owners** 

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer

O'Connell Carl

1375 KINGS HIGHWAY EAST SUITE 400

Â

CEO Â

FAIRFIELD, CTÂ 06824

**Signatures** 

Carl O'Connell

04/30/2013

\*\*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).
- (1) Vests as follows (1) 200,000 immediately; (2) 200,000 on February 1, 2014; (3) 200,000 on February 1, 2015; (4) 200,000 on February 1, 2016; and (5) 200,000 on February 1, 2017.

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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