LIME ENERGY CO.

Form 4

January 03, 2014

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

2. Issuer Name and Ticker or Trading

**OMB** Number:

3235-0287

Expires:

5. Relationship of Reporting Person(s) to

January 31, 2005

0.5

Estimated average burden hours per

**OMB APPROVAL** 

response...

if no longer subject to Section 16. Form 4 or Form 5 obligations

may continue.

See Instruction

Check this box

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

1(b).

Stock

(Print or Type Responses)

1. Name and Address of Reporting Person \*

| CAPPS CHRISTOPHER W                 |                                |             | Symbol                 |                          |     |                     |   |            | Issuer                     |                       |              |  |
|-------------------------------------|--------------------------------|-------------|------------------------|--------------------------|-----|---------------------|---|------------|----------------------------|-----------------------|--------------|--|
|                                     |                                |             | LIME ENERGY CO. [LIME] |                          |     |                     |   |            | (Check all applicable)     |                       |              |  |
| (Last)                              | (First)                        | (Middle)    | 3. Date of             | Earliest T               | ran | saction             |   |            |                            |                       |              |  |
|                                     |                                |             | (Month/Da              | ay/Year)                 |     |                     |   |            | _X_ Director               |                       | 6 Owner      |  |
| 16810 KENTON DRIVE, SUITE 240       |                                |             | 01/02/2014             |                          |     |                     |   |            | Officer (giv below)        | e title Oth<br>below) | er (specify  |  |
|                                     | 4. If Amendment, Date Original |             |                        |                          |     |                     | 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting |            |                            |                       |              |  |
| Filed                               |                                |             |                        | Filed(Month/Day/Year)    |     |                     |   |            |                            |                       |              |  |
| HUNTERSY                            | VILLE, NC 280                  | 78          |                        |                          |     |                     |   |            | Person                     | More than One Ro      | eporung      |  |
| (City)                              | (State)                        | (Zip)       | Table                  | I - Non-I                | Der | ivative S           | ecuri   | ties Ac    | quired, Disposed o         | of, or Beneficia      | lly Owned    |  |
| 1.Title of                          | 2. Transaction Da              | ate 2A. Dec | emed                   | 3.                       | 4   | 4. Securit          | ies   |            | 5. Amount of               | 6. Ownership          | 7. Nature of |  |
| Security (Month/Day/Year) Executive |                                | on Date, if | Transact               | ansactionAcquired (A) or |     |                     |   | Securities | Form: Direct               | Indirect              |              |  |
| (Instr. 3)                          | any                            |             |                        | Code Disposed of (D)     |     | ·                   | Beneficially  | (D) or     | Beneficial                 |                       |              |  |
|                                     |                                | (Month      | /Day/Year)             | (Instr. 8)               | (   | (Instr. 3, 4 and 5) |   |            | Owned                      | Indirect (I)          | Ownership    |  |
|                                     |                                |             |                        |                          |     |                     |   |            | Following                  | (Instr. 4)            | (Instr. 4)   |  |
|                                     |                                |             |                        |                          |     |                     | (A)   |            | Reported<br>Transaction(s) |                       |              |  |
|                                     |                                |             |                        | Code V                   | Ι.  | Amount              | or<br>(D)   | Price      | (Instr. 3 and 4)           |                       |              |  |
| Common                              | 01/02/2014                     |             |                        | A                        |     | 6,850               | A   | <u>(2)</u> | 19,621                     | D                     |              |  |

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)

#### Edgar Filing: LIME ENERGY CO. - Form 4

| 1. Titl<br>Deriv<br>Secur<br>(Instr. | ative<br>ity | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5. tiorNumber of ) Derivativ Securities Acquired (A) or Disposed of (D) | s<br>I              | ate                | Amor<br>Unde<br>Secur | tle and<br>unt of<br>orlying<br>rities<br>: 3 and 4) | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Nu<br>Deriv<br>Secur<br>Bene<br>Owne<br>Follo<br>Repo<br>Trans |
|--------------------------------------|--------------|---|---|---|---|---|---------------------|--------------------|-----------------------|--|---|---|
|                                      |              |   |   |   | Code \                                  | (Instr. 3,<br>4, and 5)   | Date<br>Exercisable | Expiration<br>Date | Title                 | Amount<br>or<br>Number<br>of<br>Shares               |   |   |

# **Reporting Owners**

\*\*Signature of Reporting Person

| Reporting Owner Name / Address   | Relationships |           |               |  |  |  |  |
|--|---------------|-----------|---------------|--|--|--|--|
|  | Director      | 10% Owner | Officer Other |  |  |  |  |
| CAPPS CHRISTOPHER W<br>16810 KENTON DRIVE<br>SUITE 240<br>HUNTERSVILLE, NC 28078 | X             |           |               |  |  |  |  |
|  |               |           |               |  |  |  |  |

## **Signatures**

Jeffrey Mistarz, by Power of 01/03/2014
Attorney

## **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).
- (1) Half of these shares vest immediately and half vest on December 31, 2014, if the holder is still a member of the Company's Board of Directors on the vesting date.
- (2) Granted pursuant to the terms of the 2010 Non-Employee Directors' Stock Plan for Board service during 2014.

Date

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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