Hartner John Form 4 November 14, 2018

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL** 

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Check this box

obligations may continue.

See Instruction

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).

(Print or Type Responses)

1. Name and Address of Reporting Person \*

Hartner John

(Middle) (Last) (First)

127 INDUSTRY BOULEVARD

(Street)

NORTH HUNTINGDON, PA 15642

(State)

(Month/Day/Year)

Filed(Month/Day/Year)

2. Issuer Name and Ticker or Trading Symbol ExOne Co [XONE]

3. Date of Earliest Transaction

11/12/2018

4. If Amendment, Date Original

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

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

below) Chief Operating Officer

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

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

(City)

1. Title of

Security

(Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year)

Execution Date, if

(Zip)

(Month/Day/Year)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8)

Code V Amount (D) Price

(Instr. 3, 4 and 5)

(A)

5. Amount of Securities Beneficially Owned Following Reported

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

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

Transaction(s) (Instr. 3 and 4)

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

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

1. Title of Derivative Conversion Security or Exercise

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

Execution Date, if any

4. 5. Number of TransactionDerivative Code Securities

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

7. Title and Amount of **Underlying Securities** (Instr. 3 and 4)

### Edgar Filing: Hartner John - Form 4

| (Instr. 3)                           | Price of<br>Derivative<br>Security |            | (Month/Day/Year) | (Instr. | 8) | Acquired (A Disposed of (Instr. 3, 4, 5) | (D) |                     |                    |                 |                                  |
|--------------------------------------|------------------------------------|------------|------------------|---------|----|--|-----|---------------------|--------------------|-----------------|----------------------------------|
|                                      |                                    |            |                  | Code    | V  | (A)                                      | (D) | Date<br>Exercisable | Expiration<br>Date | Title           | Amount or<br>Number of<br>Shares |
| Stock<br>Option<br>(right to<br>buy) | \$ 9.67                            | 11/12/2018 |                  | A       |    | 100,000                                  |     | <u>(1)</u>          | 11/12/2023         | Common<br>Stock | 100,000                          |

# **Reporting Owners**

| Reporting Owner Name / Address | Relationships |           |           |       |  |  |  |
|--------------------------------|---------------|-----------|-----------|-------|--|--|--|
| •                              | Director      | 10% Owner | Officer   | Other |  |  |  |
| Hartner John                   |               |           | Chief     |       |  |  |  |
| 127 INDUSTRY BOULEVARD         |               |           | Operating |       |  |  |  |
| NORTH HUNTINGDON, PA 15642     |               |           | Officer   |       |  |  |  |

## **Signatures**

/s/ Loretta L. Benec, attorney-in-fact for John F.
Hartner

11/14/2018

\*\*Signature of Reporting Person Date

# **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).
- Grant of options to purchase common stock under The ExOne Company 2013 Equity Incentive Plan. Options vest with respect to 25,000 (1) shares of common stock on the date of grant and the remaining 75,000 shares of common stock on the first anniversary of the date of

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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