

BALTHROP PATRICK J

Form 4

March 15, 2013

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

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
BALTHROP PATRICK J

(Last) (First) (Middle)

12212 TECHNOLOGY
BOULEVARD

(Street)

AUSTIN, TX 78727

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
LUMINEX CORP [LMNX]

3. Date of Earliest Transaction
(Month/Day/Year)
12/09/2008

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify
below)

President & CEO

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

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(D)	Price

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

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SEC 1474
(9-02)

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

1. Title of Derivative Security	2. Conversion or Exercise	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any	4. Transaction Code	5. Number of Derivative Securities	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount Underlying Securities (Instr. 3 and 4)
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(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	Amount or Number of Shares
Put Option (Right to Sell)	(1) (2)	12/09/2008(1)(2)	J(1)(2)	63,800					12/09/2008(1)(2)	(1)(2)	Common Stock	63,800

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BALTHROP PATRICK J 12212 TECHNOLOGY BOULEVARD AUSTIN, TX 78727	X		President & CEO	

Signatures

/S/ HARRISS T. CURRIE, AS ATTORNEY-IN-FACT FOR PATRICK J.
BALTHROP

03/15/2013

__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).

(1) On April 26, 2004, the reporting person entered into a non-recourse loan (the "Loan") with a non-affiliated lender (the "Lender"). The Loan does not have a set maturity date. As partial collateral for the Loan, on December 9, 2008 the reporting person pledged to the Lender 21,660 shares of Common Stock. The reporting person has subsequently pledged to the Lender an additional 42,140 shares of Common Stock currently held as additional collateral for the Loan. The total collateral securing the Loan, based on current valuations, is valued at approximately 130% of the maximum amount the reporting person is permitted to borrow under the Loan. The pledged shares constitute approximately 39% of the total collateral securing the Loan.

(2) The Loan and pledge provide that if an event of default on the Loan occurs, the Lender has the right to foreclose upon and sell the pledged shares to satisfy the unpaid balance of the amount owed; however, the reporting person will not generally be liable for any deficiency. Prior to the occurrence of an event of default, the reporting person retains voting power over the pledged shares and the right to receive dividends or distributions. This Form 4 was not timely filed as a result of the reporting person's inadvertent oversight of the reporting obligations associated with the pledged shares and the non-recourse nature of the Loan.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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