#### Edgar Filing: ENERGY FOCUS, INC/DE - Form 3

ENERGY FOCUS, INC/DE

Form 3 May 19, 2014

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

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SECURITIES

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement ENERGY FOCUS, INC/DE [EFOI] A Prime Science & Technology (Month/Day/Year) 04/30/2013 Inc. (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 18 MICHELLE WAY (Check all applicable) (Street) 6. Individual or Joint/Group Filing(Check Applicable Line) \_\_X\_\_ 10% Owner Director \_X\_ Form filed by One Reporting Officer Other Person PINE BROOK, NJÂ 07058 (give title below) (specify below) Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 4. Nature of Indirect Beneficial 1. Title of Security 2. Amount of Securities Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 5) (Instr. 4) Form: Direct (D) or Indirect (I) (Instr. 5) Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) owned directly or indirectly. Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a

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

currently valid OMB control number.

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise Price of	5. Ownership Form of Derivative	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	Security: Direct (D) or Indirect	(msu. 3)

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						(Instr. 5)	
Subordinated Convertible Debt	04/30/2013	12/31/2016	Common Stock	1,086,957	\$ 0.23	D	Â
Subordinated Convertible Debt	07/31/2013	12/31/2016	Common Stock	652,174	\$ 0.23	D	Â
Subordinated Convertible Debt	09/30/2013	12/31/2016	Common Stock	869,565	\$ 0.23	D	Â
Subordinated Convertible Debt	10/31/2013	12/31/2016	Common Stock	2,173,913	\$ 0.23	D	Â
Subordinated Convertible Debt	12/31/2013	12/31/2016	Common Stock	434,783	\$ 0.23	D	Â
Subordinated Convertible Debt	01/31/2014	12/31/2016	Common Stock	1,282,609	\$ 0.23	D	Â
Subordinated Convertible Debt	02/28/2014	12/31/2016	Common Stock	2,608,696	\$ 0.23	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
· · · · · · · · · · · · · · · · · · ·	Director	10% Owner	Officer	Othe		
Prime Science & Technology Inc. 18 MICHELLE WAY PINE BROOK, NJ 07058	Â	ÂX	Â	Â		

### **Signatures**

/s/ Frank Lamana as Attorney-in-Fact 05/19/2014

\*\*Signature of Reporting Person Date

## **Explanation of Responses:**

\* If the form is filed by more than one reporting person, see Instruction 5(b)(v).

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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<sup>\*\*</sup> Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).