Gevo, Inc. Form 4 December 30, 2016

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

Washington, D.C. 20549

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

Check this box

**SECURITIES** Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,

obligations may continue. See Instruction

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 \*

Roda Gregory

(City)

2. Issuer Name and Ticker or Trading

Symbol

(Middle)

(7:m)

Gevo, Inc. [GEVO]

(First) (Last)

3. Date of Earliest Transaction

(Month/Day/Year) 12/29/2016

345 INVERNESS DRIVE SOUTH, BUILDING C, SUITE 310

(Street)

(State)

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

5. Relationship of Reporting Person(s) to

**OMB** 

Number:

Expires:

response...

**OMB APPROVAL** 

Estimated average

burden hours per

3235-0287

January 31,

2005

0.5

Issuer

(Check all applicable)

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

Chief Commercial 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

ENGLEWOOD, CO 80112

| (City)                 | (State) (2                           | Table                         | I - Non-De       | erivative S                         | Securi           | ties Ac                                 | quired, Disposed o                             | of, or Beneficial         | ly Owned              |  |
|------------------------|--------------------------------------|-------------------------------|------------------|-------------------------------------|------------------|---|--|---------------------------|-----------------------|--|
| 1.Title of<br>Security | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if | 3.<br>Transactio | 4. Securities on Acquired (A) or    |                  |   | 5. Amount of Securities                        | 6. Ownership Form: Direct | 7. Nature of Indirect |  |
| (Instr. 3)             | •                                    | any                           | Code             | Disposed of (D) (Instr. 3, 4 and 5) |                  | Beneficially                            | (D) or   | Beneficial                |                       |  |
|                        |                                      | (Month/Day/Year)              | (Instr. 8)       |                                     |                  | Owned Indirect (I) Following (Instr. 4) |  | Ownership (Instr. 4)      |                       |  |
|                        |                                      |                               | Code V           | Amount                              | (A)<br>or<br>(D) | Price                                   | Reported<br>Transaction(s)<br>(Instr. 3 and 4) |                           |                       |  |
| Common<br>Stock        | 12/29/2016                           |                               | M                | 317                                 | A                | (1)                                     | 9,859  | D                         |                       |  |
| Common<br>Stock        | 12/29/2016                           |                               | F                | 118 (2)                             | D                | \$<br>0.2                               | 9,741  | 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.

#### Edgar Filing: Gevo, Inc. - Form 4

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

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 4.<br>Transact<br>Code<br>(Instr. 8) | Derivative |     | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) |  | 8. Price<br>Deriva<br>Securit<br>(Instr. : |
|---|---|---|--------------------------------------|------------|-----|--|--------------------|---|--|--|
|   |   |   | Code V                               | V (A)      | (D) | Date<br>Exercisable  | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares |  |
| Restricted<br>Stock<br>Units                        | <u>(1)</u>  | 12/29/2016                              | M                                    |            | 317 | (3)  | (3)                | Common<br>Stock   | 317                                    | \$ (                                       |

# **Reporting Owners**

| Reporting Owner Name / Address   | Relationships |           |                                |       |  |  |  |  |
|--|---------------|-----------|--------------------------------|-------|--|--|--|--|
| <b>FG</b>  | Director      | 10% Owner | Officer                        | Other |  |  |  |  |
| Roda Gregory 345 INVERNESS DRIVE SOUTH BUILDING C, SUITE 310 ENGLEWOOD, CO 80112 |               |           | Chief<br>Commercial<br>Officer |       |  |  |  |  |

## **Signatures**

/s/ Geoff Williams, as Attorney-in-Fact 12/30/2016

\*\*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) Restricted Stock Units convert into common stock on a one-for-one basis
- (2) The disposition represents the net settlement of shares upon the vesting of restricted stock units.
- On September 16, 2015, the reporting person was granted restricted stock units and options that will vest monthly for three years beginning July 29, 2015.

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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