

Edgar Filing: NEON SYSTEMS INC - Form 3

NEON SYSTEMS INC
 Form 3
 March 29, 2001

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 FORM 3

 OMB APPROVAL

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UNITED STATES SECURITIES AND EXCHANGE COMMISSION
 WASHINGTON, D.C. 20549

INITIAL STATEMENT OF 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(f) of the Investment Company Act of 1940

| | | | |
|--|---|--|--|
| ----- | | | 4. Issuer Name and Ticker |
| 1. Name and Address of Reporting Person* | 2. Date of Event Requiring Statement | | Trading Symbol |
| SIVLEY DEAN | 3/19/01 | | NEON SYSTEMS, INC. (NEON) |
| (Last) (First) (Middle) | ----- | | 5. Relationship of Reporting Person(s) to Issuer |
| 14100 SOUTHWEST FREEWAY, SUITE 500 | | | (Check all applicable) |
| (Street) | 3. I.R.S. Identification Number of Reporting Person, if an entity (voluntary) | | Director 10% |
| SUGAR LAND TEXAS 77478 | | | ----- |
| (City) (State) (Zip) | ----- | | X Officer Oth |
| | | | (give title below) |
| | | | Senior Vice President, Chief Strategy Officer |
| | | | ----- |

TABLE I -- NON-DERIVATIVE SECURITIES BENEFICIALLY OWNED

| | | |
|---------------------------------|---|--|
| 1. Title of Security (Instr. 4) | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) |
| ----- | ----- | ----- |
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Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly by the reporting person.
 *If the form is filed by more than one reporting person, see Instruction 5(b)(v).

POTENTIAL PERSONS WHO ARE TO RESPOND TO THIS FORM ARE NOT REQUIRED TO OBTAIN A CURRENTLY VALID OMB CONTROL NUMBER.

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FORM 3 (CONTINUED)

TABLE II -- DERIVATIVE SECURITIES BENEFICIALLY OWNED
 (e.g., PUTS, CALLS, WARRANTS, OPTIONS, CONVERTIBLE SECURITIES)

| 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. Conver- sion or Exercise Price of Deri- vative Security |
|---|---|--|--|
|---|---|--|--|

| Date Exercis- able | Expira- tion Date | Title | Amount or Number of Shares |
|--------------------------|-------------------------|-------|----------------------------------|
|--------------------------|-------------------------|-------|----------------------------------|

Explanation of Responses:

By: /s/ DEAN SIV

DEAN SIV

**Signature of R

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

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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