

LUNA INNOVATIONS INC
Form 3/A
February 14, 2007

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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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(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person *

Â Murphy Edward G
(Last) (First) (Middle)

C/O LUNA INNOVATIONS
INCORPORATED,Â 1703 S.
JEFFERSON STREET, SW
SUITE 400

(Street)

ROANOKE,Â VAÂ 24016

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)
06/02/2006

3. Issuer Name **and** Ticker or Trading Symbol
LUNA INNOVATIONS INC [LUNA]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

5. If Amendment, Date Original Filed(Month/Day/Year)
06/02/2006

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 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)

4. Nature of Indirect Beneficial Ownership
(Instr. 5)

Common Stock

2,228,198

I

Shares owned by Carilion Clinic
(formerly Carilion Health System) ⁽¹⁾

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

SEC 1473 (7-02)

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

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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 Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Murphy Edward G
C/O LUNA INNOVATIONS INCORPORATED
1703 S. JEFFERSON STREET, SW SUITE 400
ROANOKE, VA 24016

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Signatures

Aaron S. Hullman,
attorney-in-fact

02/14/2007

__Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(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) These shares of Common Stock were omitted from the reporting person's original Form 3 filing. The reporting person is the President and Chief Executive Officer of Carilion Clinic (formerly Carilion Health System) and shares voting and investment power over the shares owned by Carilion with Donald Lorton and G. Robert Vaughan, Jr., the Treasurer and Assistant Treasurer of Carilion Clinic, respectively. The number of shares beneficially held does not include \$5.0 million aggregate principal amount of senior convertible promissory notes which convert into up to 1,065,740 shares of issuer's Common Stock or accrued interest on such notes convert which is convertible into up to an aggregate of 511,553 shares of common stock.

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.