

SAFEGUARD SCIENTIFICS INC

Form 4

August 29, 2016

**FORM 4**

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Sisko Brian J

2. Issuer Name and Ticker or Trading Symbol  
SAFEGUARD SCIENTIFICS INC [SFE]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

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

\_\_\_ Director \_\_\_ 10% Owner  
\_X\_ Officer (give title below) \_\_\_ Other (specify below)  
COO, EVP & Managing Director

170 NORTH RADNOR-CHESTER ROAD, SUITE 200

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

6. Individual or Joint/Group Filing(Check Applicable Line)  
\_X\_ Form filed by One Reporting Person  
\_\_\_ Form filed by More than One Reporting Person

(Street)

RADNOR, PA 19087

(City) (State) (Zip)

**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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  |                                | (A) or (D)  | Price   |  |                                   |
| Common Stock                    | 08/27/2016                           |  | A                              | 179 <sup>(1)</sup>  | \$ 0  | D  |                                   |
| Common Stock                    | 08/27/2016                           |  | F                              | 56  | \$ 13.97  | D  |                                   |

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 (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Price or Value of Underlying Securities (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|---|
| Stock Option (right to buy)                | \$ 7.41  | 08/27/2016                           |  | A                              | 268   | <sup>(2)</sup> 09/30/2016                                | Common Stock 268  | \$  |
| Stock Option (right to buy)                | \$ 15.07   | 08/27/2016                           |  | A                              | 358   | <sup>(3)</sup> 09/30/2021                                | Common Stock 358  | \$  |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |                              |       |
|---|---------------|-----------|------------------------------|-------|
|   | Director      | 10% Owner | Officer                      | Other |
| Sisko Brian J<br>170 NORTH RADNOR-CHESTER ROAD, SUITE 200<br>RADNOR, PA 19087 |               |           | COO, EVP & Managing Director |       |

## Signatures

By: G. Matthew Barnard For: Brian J. Sisko 08/29/2016

\_\_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) On September 30, 2011, the reporting person was granted a performance stock unit to acquire 5,819 shares of common stock, the vesting of which is subject to the satisfaction of certain corporate performance criteria. In accordance with the previously established criteria, a portion of such performance stock units vested and the underlying shares were issued as reported in Table I.

(2) On September 30, 2008, the reporting person was granted an option to purchase 16,416 shares of common stock, the vesting of which is subject to the satisfaction of certain corporate performance criteria. In accordance with the previously established criteria, a portion of such options vested as reported in Table II.

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- On September 30, 2011, the reporting person was granted an option to purchase 11,638 shares of common stock, the vesting of which is
- (3) subject to the satisfaction of certain corporate performance criteria. In accordance with the previously established criteria, a portion of such options vested as reported in Table II

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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