

PLUG POWER INC

Form 5

February 16, 2016

**FORM 5****UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**Check this box if  
no longer subject  
to Section 16.Form 4 or Form  
5 obligations  
may continue.See Instruction  
1(b).Form 3 Holdings  
Reported

Form 4

Transactions

Reported

**ANNUAL 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

## OMB APPROVAL

OMB  
Number: 3235-0362Expires: January 31,  
2005Estimated average  
burden hours per  
response... 1.01. Name and Address of Reporting Person \*  
Roth Johannes Minhø

(Last) (First) (Middle)

C/O PLUG POWER INC.,  
968, Å ALBANY-SHAKER ROAD

(Street)

2. Issuer Name and Ticker or Trading  
Symbol  
PLUG POWER INC [PLUG]3. Statement for Issuer's Fiscal Year Ended  
(Month/Day/Year)  
12/31/20155. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner  
☐ Officer (give title below) ☐ Other (specify below)4. If Amendment, Date Original  
Filed(Month/Day/Year)

6. Individual or Joint/Group Reporting

(check applicable line)

LATHAM, Å NY Å 12210

(City) (State) (Zip)

☒ Form Filed by One Reporting Person  
☐ Form Filed by More than One Reporting  
Person**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 at end of Issuer's Fiscal Year (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock	04/02/2015	Å	A4	Amount 2,728 (1) A Price \$ 2.52	41,243	D	Å
Common Stock	07/17/2015	Å	A4	2,926 (1) A \$ 2.35	41,243	D	Å

Reminder: Report on a separate line for each class of  
securities beneficially 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 currently valid OMB control number.**SEC 2270  
(9-02)

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**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 Security (Instr. 3 and 4)
					(A) (D)	Date Exercisable Expiration Date	Title
Option to purchase Plug Power Common Stock	\$ 2.62	05/21/2015	Â	A4	30,000 (2) Â	05/21/2015(3) 05/21/2025	Plug Power Common Stock 30

## Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
Roth Johannes Minho C/O PLUG POWER INC., 968 ALBANY-SHAKER ROAD LATHAM, NY 12210	Â X Â Â Â

## Signatures

/s/ Gerard L. Conway Jr.,  
Attorney-in-Fact

02/16/2016

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) Quarterly Stock compensation awarded to directors pursuant to Plug Power's 2011 Non-Employee Directors Compensation Plan.
- (2) Award pursuant to Plug Power's 2011 Non-Employee Director Compensation Plan.
- (3) Consists of an option to acquire common stock granted on May 21, 2015 with respect to which 30,000 shares will become exercisable one year from the grant date provided the non-employee director has remained a director of the Company during that one year period.

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.