#### OCONNELL JOSEPH P

Form 3

September 01, 2017

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement AstroNova, Inc. [ALOT]  **OCONNELL JOSEPH P** (Month/Day/Year) 09/01/2017 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) C/O ASTRONOVA, INC., 600 (Check all applicable) E GREENWICH AVENUE (Street) 6. Individual or Joint/Group 10% Owner Director \_X\_\_ Officer Other Filing(Check Applicable Line) (give title below) (specify below) \_X\_ Form filed by One Reporting Interim CFO Person W WARWICK, RIÂ 02893 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 4. Nature of Indirect Beneficial 1. Title of Security 2. Amount of Securities Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Â Common Stock D 114,864 Held in Employee Stock Common Stock 1,718 Ι Ownership Plan Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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

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

currently valid OMB control number.

1. Title of Derivative 2. Date Exercisable and 3. Title and Amount of 4. 6. Nature of Indirect Security **Expiration Date** Securities Underlying Ownership Beneficial Conversion (Month/Day/Year) (Instr. 4) **Derivative Security** or Exercise Ownership Form of

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			(Instr. 4)		Price of	Derivative	(Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	Security: Direct (D) or Indirect (I) (Instr. 5)	
Stock Option (Right to Purchase)	03/17/2014(1)	03/17/2024	Common Stock	7,500	\$ 14.2	D	Â
Stock Option (Right to Purchase)	03/29/2012(1)	03/29/2022	Common Stock	5,175	\$ 8.35	D	Â
Stock Option (Right to Purchase)	03/15/2010(1)	03/15/2020	Common Stock	4,800	\$ 7.36	D	Â
Restricted Stock Unit	03/14/2016	(2)	Common Stock	64	\$ 0 (2)	D	Â
Restricted Stock Unit	05/20/2015	(3)	Common Stock	6,189	\$ 0 (3)	D	Â

## **Reporting Owners**

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
OCONNELL JOSEPH P C/O ASTRONOVA, INC. 600 E GREENWICH AVENUE W WARWICK Â RIÂ 02893	Â	Â	Interim CFO	Â		

### **Signatures**

/s/ Margaret V. Boericke, by power of attorney 09/01/2017

\*\*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) Date indicated is date of grant. Option vests in four equal installments, commencing on the date of grant.
- (2) Each restricted stock unit represents a contingent right to receive one share of ALOT common stock. Shares vest in two equal installments on May 14, 2018 and 2019.
- (3) Each restricted stock unit represents a contingent right to receive one share of ALOT common stock. Shares vest in two equal installments on May 20, 2018 and 2019.

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#### Remarks:

This report is being filed in connection with the reporting person's appointment to the position of 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.

Reporting Owners 2