

PRO DEX INC
Form 4
August 21, 2015

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 *
Swenson Nicholas John

(Last) (First) (Middle)

3033 EXCELSIOR
BOULEVARD, SUITE 560

(Street)

MINNEAPOLIS, MN 55416

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
PRO DEX INC [PDEX]

3. Date of Earliest Transaction
(Month/Day/Year)
07/28/2015

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

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 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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| | | | Code | V | Amount | (A) or (D) | Price |
| Common Stock | | | | | 1,037,984 | I | By AO Partners, LP |
| Common Stock | 07/28/2015 | | L(1) | | 1,350 | A | \$ 2.3 7,322 |
| Common Stock | 08/07/2015 | | L(1) | | 100 | A | \$ 2.3 7,422 |
| Common Stock | 08/10/2015 | | L(1) | | 494 | A | \$ 2.3 7,916 |
| Common Stock | 08/12/2015 | | L(1) | | 700 | A | \$ 2.3 8,616 |

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| | | | | | | | |
|--------------|------------|------------------|-------|---|---------|--------|---|
| Common Stock | 08/17/2015 | L ⁽¹⁾ | 1,455 | A | \$ 2.3 | 10,071 | D |
| Common Stock | 08/20/2015 | L ⁽¹⁾ | 50 | A | \$ 2.3 | 10,121 | D |
| Common Stock | 08/21/2015 | L ⁽¹⁾ | 200 | A | \$ 2.24 | 10,321 | D |
| Common Stock | 08/21/2015 | P ⁽¹⁾ | 1,176 | A | \$ 2.26 | 11,497 | D |
| Common Stock | 08/21/2015 | P ⁽¹⁾ | 294 | A | \$ 2.27 | 11,791 | D |
| Common Stock | 08/21/2015 | P ⁽¹⁾ | 150 | A | \$ 2.28 | 11,941 | D |
| Common Stock | 08/21/2015 | P ⁽¹⁾ | 1,550 | A | \$ 2.29 | 13,491 | D |
| Common Stock | 08/21/2015 | P ⁽¹⁾ | 850 | A | \$ 2.3 | 14,341 | D |

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.

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(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 of Derivative Security (Instr. 5) | 9. Number of Derivative Securities Beneficially Owned Following Transaction (Instr. 6) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Swenson Nicholas John
3033 EXCELSIOR BOULEVARD X
SUITE 560
MINNEAPOLIS, MN 55416

AO Partners I, LP
3033 EXCELSIOR BLVD X
SUITE 560
MINNEAPOLIS, MN 55416

Signatures

/s/ Alisha Charlton as attorney-in-fact for Nicholas John Swenson 08/21/2015

__Signature of Reporting Person Date

/s/ Alisha Charlton as attorney-in-fact for AO Partners, LP 08/21/2015

__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) The purchases reported on this Form 4 were made pursuant to a 10b5-1 stock purchase plan.

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.