

Energous Corp  
Form 4  
November 03, 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 \*  
**RIZZONE STEPHEN R**

(Last) (First) (Middle)

**C/O ENERGIOUS CORPORATION, 3590 NORTH FIRST STREET, SUITE 210**

(Street)

**SAN JOSE, CA 95134**

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
**Energous Corp [WATT]**

3. Date of Earliest Transaction (Month/Day/Year)  
**11/01/2016**

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)  
**CEO and President**

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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  |                                | (A) or (D)  | Price   |  |                                   |
|                                 |                                      |  |                                | Code  | V   | Amount   |                                   |

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 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 | 2. Conversion | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if | 4. Transaction | 5. Number of Derivative | 6. Date Exercisable and Expiration Date | 7. Title and Amount of Underlying Securities |
|------------------------|---------------|--------------------------------------|-------------------------------|----------------|-------------------------|---|--|
|------------------------|---------------|--------------------------------------|-------------------------------|----------------|-------------------------|---|--|

# Edgar Filing: Energous Corp - Form 4

| Security (Instr. 3)    | or Exercise Price of Derivative Security | any (Month/Day/Year) | Code (Instr. 8) | Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | (Month/Day/Year) |     |                  | (Instr. 3 and 4) |              |                            |
|------------------------|--|----------------------|-----------------|---|------------------|-----|------------------|------------------|--------------|----------------------------|
|                        |  |                      | Code            | V   | (A)              | (D) | Date Exercisable | Expiration Date  | Title        | Amount of Number of Shares |
| Restricted Stock Unit  | (1)                                      | 11/01/2016           | A               |   | 150,000          |     | (2)              | (2)              | Common Stock | 150,000                    |
| Performance Stock Unit | (1)                                      | 11/01/2016           | A               |   | 150,000          |     | (3)              | (3)              | Common Stock | 150,000                    |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |                   |       |
|---|---------------|-----------|-------------------|-------|
|   | Director      | 10% Owner | Officer           | Other |
| RIZZONE STEPHEN R<br>C/O ENERGOUS CORPORATION<br>3590 NORTH FIRST STREET, SUITE 210<br>SAN JOSE, CA 95134 | X             |           | CEO and President |       |

## Signatures

/s/ Brian Sereda,  
Attorney-in-Fact  
  
Date: 11/03/2016

         Signature of Reporting Person

## 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) Each restricted stock unit represents a contingent right to receive one share of common stock.
- (2) 25% of the restricted stock units will vest annually on August 18, 2017, 2018, 2019, and 2020. Delivery of the vested shares will be deferred until the earliest to occur of (a) a separation of service; (b) a change in control; or (c) November 1, 2024.  
Performance stock units shall be earned and vested upon satisfaction of certain stock performance milestones as determined by the Board.
- (3) Delivery of the vested shares will be deferred until the earliest to occur of (a) a separation of service; (b) a change in control; or (c) November 1, 2024.

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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