

A123 SYSTEMS, INC.  
Form 4  
October 01, 2009

**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 \*  
**GENERAL ELECTRIC CAPITAL CORP**

(Last) (First) (Middle)

3135 EASTON TURNPIKE

(Street)

FAIRFIELD, CT 06828-0001

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
**A123 SYSTEMS, INC. [AONE]**

3. Date of Earliest Transaction (Month/Day/Year)  
**09/29/2009**

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

6. Individual or Joint/Group Filing (Check Applicable Line)  
\_\_\_ Form filed by One Reporting Person  
\_X\_ 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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
Common Stock	09/29/2009		C(4)		800,945	A	(4) 800,945
Common Stock	09/29/2009		C(4)		2,382,925	A	(4) 2,382,925
Common Stock	09/29/2009		C(4)		2,497,918	A	(4) 4,880,843
Common Stock	09/29/2009		C(4)		1,631,191	A	(4) 6,512,034
Common Stock							900,277
							D (3) (5)

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Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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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)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount Number Shares
Series C Convertible Preferred Stock	(4)	09/29/2009		C(4)	800,945	(4) (4)		Common Stock	800,945
Series D Convertible Preferred Stock	(4)	09/29/2009		C(4)	2,382,925	(4) (4)		Common Stock	2,382,925
Series E Convertible Preferred Stock	(4)	09/29/2009		C(4)	1,808,068	(4) (4)		Common Stock	2,497,000
Series F Convertible Preferred Stock	(4)	09/29/2009		C(4)	1,631,191	(4) (4)		Common Stock	1,631,191

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
GENERAL ELECTRIC CAPITAL CORP 3135 EASTON TURNPIKE FAIRFIELD, CT 06828-0001		X		
GENERAL ELECTRIC CAPITAL SERVICES INC/CT 3135 EASTON TURNPIKE FAIRFIELD, CT 06828-0001				See Exhibit 99.1
GE CAPITAL EQUITY INVESTMENTS INC 201 MERRITT 7				See Exhibit

NORWALK, CT 06851	99.1
GE CAPITAL CFE INC 201 MERRITT 7 NORWALK, CT 06856	See Exhibit 99.1
GPSF Securities, Inc. 201 MERRITT 7 NORWALK, CT 06851	See Exhibit 99.1
GENERAL ELECTRIC CO 3135 EASTON TURNPIKE FAIRFIELD, CT 06828	See Exhibit 99.1

## Signatures

/s/ Barbara A. Lane, Attorney-in-Fact for  
GECC

10/01/2009

\_\_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) Directly owned by GE Capital CFE, Inc. ("GECFE").
- (2) Directly owned by GE Capital Equity Investments, Inc. ("GECEI").
- (3) Directly owned by GPSF Securities, Inc. ("GPSF").

(4) The Issuer's preferred stock reported herein is convertible at any time by the holder and has no expiration date, but is subject to mandatory conversion or redemption upon certain events. On September 30, 2009, upon the closing of the Issuer's initial public offering, each share of preferred stock reported herein converted automatically into one share of common stock, except that each share of Series E Convertible Preferred Stock converted automatically into 1.38154 shares of common stock.

(5) Indirectly owned by General Electric Capital Corporation ("GE Capital") because, among other things, GPSF, GECFE, or GECEI, as the case may be, is a direct or indirect wholly-owned subsidiary of GE Capital. GPSF, GECFE, GECEI and GE Capital disclaim beneficial ownership except to the extent of their respective pecuniary interest. *See* Exhibit 99.1, incorporated by reference herein. Upon the closing of the of the Issuer's initial public offering, none of the Reporting Persons were 10% Owners.

### Remarks:

Exhibit 99.1: Joint Filer Information, incorporated herein by reference.

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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