

Edgar Filing: NEON SYSTEMS INC - Form 3

NEON SYSTEMS INC
 Form 3
 July 23, 2001

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 FORM 3

 OMB APPROVAL

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UNITED STATES SECURITIES AND EXCHANGE COMMISSION
 WASHINGTON, D.C. 20549

INITIAL STATEMENT OF 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(f) of the Investment Company Act of 1940

| | | | | |
|--|---------|----------|---|--|
| 1. Name and Address of Reporting Person* | | | 2. Date of Event Requiring Statement (Month/Day/Year) | 4. Issuer Name and Ticker Trading Symbol NEON Systems, Inc. (|
| Poynter | James | B. | 7/17/01 | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) |
| (Last) | (First) | (Middle) | | Director 10% |
| 14100 Southwest Freeway, Suite 500 | | | 3. I.R.S. Identification Number of Reporting Person, if an entity (voluntary) | X Officer Oth |
| (Street) | | | | (give title below) |
| Sugarland | Texas | 77478 | | Chief Financial Officer |
| (City) | (State) | (Zip) | | |

TABLE I -- NON-DERIVATIVE SECURITIES BENEFICIALLY OWNED

| | | |
|------------------------------------|--|---|
| 1. Title of Security (Instr. 4) | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) |
|------------------------------------|--|---|

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Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly by the reporting person.
 *If the form is filed by more than one reporting person, see Instruction 5(b)(v).

POTENTIAL PERSONS WHO ARE TO RESPOND TO THE INFORMATION CONTAINED IN THIS FORM ARE NOT REQUIRED TO OBTAIN A CURRENTLY VALID OMB CONTROL NUMBER.

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FORM 3 (CONTINUED)

TABLE II -- DERIVATIVE SECURITIES BENEFICIALLY OWNED
 (e.g., PUTS, CALLS, WARRANTS, OPTIONS, CONVERTIBLE SECURITIES)

| 1. Title of Derivative Security (Instr. 4) | 2. Date Exercisable and Expiration Date (Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4) | 4. Conversion or Exercise Price of Derivative Security | 5. Other Terms |
|--|--|---|--|----------------------------|
| | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Stock Options (Right to Buy) (1) | (1) | 7/17/11 | Common Stock | 100,000 |
| | | | | \$6.88 |

Explanation of Responses:

(1) Granted under the Issuer's 1999 Long Term Incentive Plan and vesting in four (4) equal installments on July 17, 2002.

By /s/ JAMES
 James

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

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.

