

Edgar Filing: NEON SYSTEMS INC - Form 3

NEON SYSTEMS INC
 Form 3
 July 23, 2001

1

 FORM 3

 OMB APPROVAL

 OMB Number: 3235-0104
 Expires: December 31, 2001
 Estimated average burden
 hours per response.... 0.5

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

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

TABLE I -- NON-DERIVATIVE SECURITIES BENEFICIALLY OWNED

| | | |
|---|---|--|
| <p>1. Title of Security (Instr. 4)</p> | <p>2. Amount of Securities Beneficially Owned (Instr. 4)</p> | <p>3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)</p> |
| Common Stock | 18,674 | D |

Edgar Filing: NEON SYSTEMS INC - Form 3

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 THIS FORM ARE NOT REQUIRED TO HAVE A CURRENTLY VALID OMB CONTROL NUMBER.

2

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 |
|--|--|---|--|----------------------------|
| | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Stock Options (Right to Buy) | (1) | 2/15/08 | Common Stock | 22,800 |
| Stock Options (Right to Buy) | (2) | 7/28/10 | Common Stock | 15,000 |
| Stock Options (Right to Buy) | (3) | 10/24/00 | Common Stock | 20,000 |

Explanation of Responses:

- (1) Granted under the Issuer's 1993 Long Term Incentive Plan and vesting in four (4) equal installments on February 15, 1999.
- (2) Granted under the Issuer's 1999 Long Term Incentive Plan and vesting in four (4) equal installments on July 28, 2001.
- (3) Granted under the Issuer's 1999 Long Term Incentive Plan and vesting in four (4) equal installments on October 24, 2001.

By /s/ STEVE

Steve

Edgar Filing: NEON SYSTEMS INC - Form 3

** 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.

Page 2
SEC 1473 (8-92)