

Hencken Frederick S. III  
Form 3/A  
April 05, 2019

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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## 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(h) of the Investment Company Act of 1940

(Print or Type Responses)

|                                              |                                      |                                                            |
|----------------------------------------------|--------------------------------------|------------------------------------------------------------|
| 1. Name and Address of Reporting Person *    | 2. Date of Event Requiring Statement | 3. Issuer Name <b>and</b> Ticker or Trading Symbol         |
| Â Hencken Frederick S. III                   | (Month/Day/Year)                     | CAPSTONE TURBINE Corp [CPST]                               |
| (Last) (First) (Middle)                      | 04/01/2019                           |                                                            |
| C/O CAPSTONE TURBINE CORP.,Â 16640 STAGG ST. |                                      | 4. Relationship of Reporting Person(s) to Issuer           |
| (Street)                                     |                                      | (Check all applicable)                                     |
|                                              |                                      | 5. If Amendment, Date Original Filed(Month/Day/Year)       |
|                                              |                                      | 04/02/2019                                                 |
|                                              |                                      | 6. Individual or Joint/Group Filing(Check Applicable Line) |
|                                              |                                      | ___ Director ___ 10% Owner                                 |
|                                              |                                      | __X__ Officer ___ Other                                    |
|                                              |                                      | (give title below) (specify below)                         |
|                                              |                                      | Chief Accounting Officer                                   |
|                                              |                                      | ___ Form filed by One Reporting Person                     |
|                                              |                                      | ___ Form filed by More than One Reporting Person           |

VAN NUYS,Â CAÂ 91406

(City) (State) (Zip)

### Table I - Non-Derivative Securities Beneficially Owned

|                                    |                                                          |                                                                   |                                                          |
|------------------------------------|----------------------------------------------------------|-------------------------------------------------------------------|----------------------------------------------------------|
| 1. Title of Security<br>(Instr. 4) | 2. Amount of Securities Beneficially Owned<br>(Instr. 4) | 3. Ownership Form:<br>Direct (D)<br>or Indirect (I)<br>(Instr. 5) | 4. Nature of Indirect Beneficial Ownership<br>(Instr. 5) |
| Common Stock                       | 52,500                                                   | D                                                                 | Â                                                        |

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

SEC 1473 (7-02)

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### Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

|                                               |                                                             |                                                                                         |                                                        |                                                         |                                                          |
|-----------------------------------------------|-------------------------------------------------------------|-----------------------------------------------------------------------------------------|--------------------------------------------------------|---------------------------------------------------------|----------------------------------------------------------|
| 1. Title of Derivative Security<br>(Instr. 4) | 2. Date Exercisable and Expiration Date<br>(Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security<br>(Instr. 4)<br>Title | 4. Conversion or Exercise Price of Derivative Security | 5. Ownership Form of Derivative Security:<br>Direct (D) | 6. Nature of Indirect Beneficial Ownership<br>(Instr. 5) |
|-----------------------------------------------|-------------------------------------------------------------|-----------------------------------------------------------------------------------------|--------------------------------------------------------|---------------------------------------------------------|----------------------------------------------------------|

# Edgar Filing: Hencken Frederick S. III - Form 3/A

|                     |                    |                                  |                                  |
|---------------------|--------------------|----------------------------------|----------------------------------|
| Date<br>Exercisable | Expiration<br>Date | Amount or<br>Number of<br>Shares | or Indirect<br>(I)<br>(Instr. 5) |
|---------------------|--------------------|----------------------------------|----------------------------------|

## Reporting Owners

| Reporting Owner Name / Address                                                                  | Relationships |           |                            |       |
|-------------------------------------------------------------------------------------------------|---------------|-----------|----------------------------|-------|
|                                                                                                 | Director      | 10% Owner | Officer                    | Other |
| Hencken Frederick S. III<br>C/O CAPSTONE TURBINE CORP.<br>16640 STAGG ST.<br>VAN NUYS, CA 91406 | Â             | Â         | Â Chief Accounting Officer | Â     |

## Signatures

|                                        |            |
|----------------------------------------|------------|
| Frederick Hencken, Reporting<br>Person | 04/05/2019 |
|----------------------------------------|------------|

\_\_Signature of Reporting Person                      Date

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, *see* Instruction 5(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).

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### Remarks:

PreviouslyÂ reportedÂ securitiesÂ movedÂ fromÂ tableÂ IIÂ toÂ tableÂ I

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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