

TRANS LUX CORP
Form 4
August 16, 2013

FORM 4

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

OMB APPROVAL

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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 *
ELSER MARCO M

(Last) (First) (Middle)

VIA SISTINA 121

(Street)

ROME, L6 00187

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
TRANS LUX CORP [TNLX]

3. Date of Earliest Transaction
(Month/Day/Year)
08/14/2013

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)

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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| | | | Code | V | Amount | (A) or (D) | Price |
| Common Stock | 08/14/2013 | | C | | 90,000 | A | \$ 0.2 |
| | | | | | 705,000 | I | |
| | | | | | | | Manager of the accounts. (1) |

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)

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| 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 Security (Instr. 3 and 4) | Amount or Number of Shares | | |
|--|--|--------------------------------------|--|--------------------------------|---|--|-----|---|----------------------------|--------------|-----|
| | | | | Code | V | (A) | (D) | Date Exercisable | Expiration Date | Title | |
| A Warrants | \$ 0.2 | 08/14/2013 | | C | | 90,000 | | 11/14/2011 | 09/13/2013 | Common Stock | 90, |
| B Warrants | \$ 0.5 | 08/14/2013 | | C | | 90,000 | | 08/14/2013 | 11/14/2014 | Common Stock | 90, |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| ELSER MARCO M VIA SISTINA 121 ROME, L6 00187 | | X | | |

Signatures

/s/ Marco Elser 08/16/2013
 __Signature of Date
 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).

302,500 of which are owned by Elser & Co., of which I exercise voting and dispositive rights as the account manager, but disclaim any beneficial ownership. 342,500 of which are owned by Carlisle Investments, of which I exercise voting and dispositive rights as the account manager, but disclaim any beneficial ownership. 60,000 of which are owned by AdviCorp plc, of which I exercise voting and dispositive rights as the account manager, and own 50% of the equity of AdviCorp plc. No change in ownership on behalf of AdviCorp plc is being reported in this Form 4.

40,000 of which are owned by Elser & Co., of which I exercise voting and dispositive rights as the account manager, but disclaim any beneficial ownership. 50,000 of which are owned by Carlisle Investments, of which I exercise voting and dispositive rights as the account manager, but disclaim any beneficial ownership.

(3) Each B Warrant entitles the holder to purchase one share of Common Stock, at an exercise price of \$0.50 per share.

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.