Workhorse Group Inc. Form 4

February 24, 2016

### FORM 4

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

Check this box if no longer

subject to Section 16. Form 4 or Form 5

obligations

may continue.

See Instruction

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading BAKSA STEPHEN D Issuer Symbol Workhorse Group Inc. [WKHS] (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) \_X\_\_ 10% Owner Director Other (specify Officer (give title 2 WOODS LANE 12/04/2015 below) (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

#### CHATHAM, NJ 07928

CHATHAM	Person								
(City)	(State) (	Zip) Table	e I - Non-D	erivative Se	ecuriti	es 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. Transactic Code (Instr. 8)	4. Securition of Disposed of (Instr. 3, 4)  Amount	of (D)	uired (A) or  Price	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)
COMMON STOCK, \$0.001 PAR VALUE PER SHARE	02/21/2016		Х	25,000	A	\$ 100,000	2,552,513	D	
COMMON STOCK, \$0.001 PAR VALUE PER SHARE	01/07/2016		Р	981	A	\$ 6,641	2,527,513	D	

**OMB APPROVAL** 

Estimated average

burden hours per

3235-0287

January 31,

2005

0.5

OMB

Number:

Expires:

response...

### Edgar Filing: Workhorse Group Inc. - Form 4

COMMON STOCK, \$0.001 PAR VALUE PER SHARE	12/04/2015	P	91,624	A	\$ 320,684	2,526,532	D	
COMMON STOCK, \$0.001 PAR VALUE PER SHARE	11/09/2015	P	142,857	A	\$ 500,000	2,434,908	D	
COMMON STOCK, \$0.001 PAR VALUE PER SHARE						31,000	I	N/A

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)

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. Transactic Code (Instr. 8)	5. Number of orDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amou Underlying Secur (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	P
COMMON STOCK PURCHASE WARRANT	\$ 5.28	12/04/2015		Р	91,624	12/04/2015	12/04/2020	COMMON STOCK, PAR VALUE \$0.001	
COMMON STOCK PURCHASE WARRANT	\$ 5.28	11/09/2015		P	142,857	11/09/2015	11/09/2020	COMMON STOCK, PAR VALUE \$0.001	
	\$ 1.4					12/08/2014	12/07/2017		

#### Edgar Filing: Workhorse Group Inc. - Form 4

COMMON STOCK PURCHASE WARRANT			COMMON STOCK, PAR VALUE \$0.001
COMMON STOCK PURCHASE WARRANT	\$ 1.5	03/27/2014 03/27/2017	COMMON STOCK, PAR VALUE \$0.001
COMMON STOCK PURCHASE WARRANT	\$ 4	03/13/2013 03/13/2016	COMMON STOCK, PAR VALUE \$0.001

## **Reporting Owners**

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
BAKSA STEPHEN D 2 WOODS LANE		X					
CHATHAM, NJ 07928							

## **Signatures**

/s/ Stephen D.
Baksa

\*\*Signature of Reporting Person

O2/24/2016

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).

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.

Reporting Owners 3