#### Edgar Filing: AUTHENTEC INC - Form 3

AUTHENTEC INC Form 3

June 26, 2007

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

OMB Number:

3235-0104

Expires:

response...

January 31, 2005

0.5

Estimated average burden hours per

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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

**SECURITIES** 

30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person \* 2. Date of Event 3. Issuer Name and Ticker or Trading Symbol Requiring Statement HARRIS CORP/DE/ AUTHENTEC INC [AUTH] (Month/Day/Year) (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original 06/26/2007 Person(s) to Issuer Filed(Month/Day/Year) 1025 WEST NASA BOULEVARD (Check all applicable) (Street) 6. Individual or Joint/Group Filing(Check Applicable Line) Director \_X\_\_ 10% \_X\_ Form filed by One Reporting Owner Person MELBOURNE, Â FLÂ 32919-0001 Officer Other Form filed by More than One (give title below) (specify below) Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned

1.Title of Security (Instr. 4)

2. Amount of Securities Beneficially Owned (Instr. 4)

Ownership Form: Direct (D) or Indirect (I) (Instr. 5) 4. Nature of Indirect Beneficial Ownership

(Instr. 5)

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

SEC 1473 (7-02)

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.

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

1. Title of Derivative	2. Date Exercisable and	3. Title and A	3. Title and Amount of Securities		5.	6. Nature of	
Security	Expiration Date	, ,	Underlying Derivative Security (Instr. 4)		Ownership	Indirect Beneficial	
(Instr. 4)	(Month/Day/Year)	(Instr. 4)			Form of	Ownership	
	D-t- Eiti			Price of	Derivative	(Instr. 5)	
	Date Expiration Exercisable Date				Security:		
	Exercisable Date		Amount or Number of Shares	Security	Direct (D)		
		Title			or Indirect		
					(I)		
					(Instr. 5)		

Edgar Filing: AUTHENTEC INC - Form 3

Series A Convertible Preferred Stock	(1)	(1)	Common Stock	1,223,750 (1)	\$ <u>(1)</u>	D	Â
Series B Convertible Preferred Stock	(1)	(1)	Common Stock	797,330 (1)	\$ <u>(1)</u>	D	Â
Series C Convertible Preferred Stock	(1)	(1)	Common Stock	833,080 (1)	\$ <u>(1)</u>	D	Â
Series D Convertible Preferred Stock	(1)	(1)	Common Stock	375,979 <u>(1)</u>	\$ <u>(1)</u>	D	Â
Preferred Stock Purchase Warrant	(2)	09/25/2010	Series B Convertible Preferred Stock	42,365 (2)	\$ 9 (2)	D	Â
Warrant to Purchase Shares of Series C Preferred Stock	(2)	12/31/2007	Series C Convertible Preferred Stock	355,154 <u>(2)</u>	\$ 2.0048 (2)	D	Â
4% Senior Secured Convertible Promissory Note due 2010	(3)	12/31/2010	Common Stock	\$ 1,544,441.51	\$ 6 <u>(4)</u>	D	Â

### **Reporting Owners**

Reporting Owner Name / Address	Relationships					
· · · · · · · · · · · · · · · · · · ·	Director	10% Owner	Officer	Other		
HARRIS CORP /DE/ 1025 WEST NASA BOULEVARD MELBOURNE, FL 32919-0001	Â	ÂX	Â	Â		

## **Signatures**

Harris Corporation Name and Title: /s/ Scott T. Mikuen Vice President, Associate General Counsel and Corporate Secretary

06/26/2007

\*\*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).
- The Convertible Preferred Stock is convertible into Common Stock at any time, at the holder's election, on a one-for-one basis and has no (1) expiration date. The number of underlying shares of Common Stock reported in Column 3 reflects a 1-for-4 reverse stock split effected on June 26, 2007, pursuant to which each share of Common Stock was exchanged for 1/4 of a share of Common Stock.
- The warrants are fully exercisable as of the date hereof. The number of underlying shares of Common Stock reported in Column 3 and the exercise price reported in Column 4 reflect a 1-for-4 reverse stock split effected on June 26, 2007, pursuant to which each share of Common Stock was exchanged for 1/4 of a share of Common Stock. Upon the closing of the issuer's initial public offering, each warrant to purchase Convertible Preferred Stock will automatically become a warrant to purchase Common Stock.
- The note is to be automatically converted into shares of Common Stock upon the closing of the issuer's public offering or upon the consummation of a qualifying transaction resulting in a change of control of the issuer.

Reporting Owners 2

#### Edgar Filing: AUTHENTEC INC - Form 3

(4) Reflects a 1-for-4 reverse stock split effected on June 26, 2007, pursuant to which each share of Common Stock was exchanged into 1/4 of a share of Common Stock.

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.