Edgar Filing: Kaplan Andrew E - Form 4

Kaplan Andre Form 4	ew E									
December 13	, 2018									
FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSIO Washington, D.C. 20549						COMMISSION	OMB Number:	PPROVAL 3235-0287 January 31,		
if no longe subject to Section 16 Form 4 or Form 5 obligation may contin <i>See</i> Instruct 1(b).	Filed purs Section 17(a	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							Expires: 2005 Estimated average burden hours per response 0.5	
(Print or Type R	esponses)									
Kaplan Andrew E Symbo			ssuer Name and Ticker or Trading pol PEN GROUP, INC. [ASPU]				5. Relationship of Reporting Person(s) to Issuer			
(Last) (First) (Middle) 3. D (Mo			3. Date of Earliest Transaction (Month/Day/Year) 12/12/2018				(Check all applicable) X_ Director 10% Owner Officer (give title below) Other (specify below)			
			endment, Date Original nth/Day/Year)				 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person 			
DENVER, C	CO 80222							More than One Re		
(City)	(State) (2	Zip) Table	e I - Non-D	erivative S	Securi	ities Acc	uired, Disposed o	f, or Beneficial	ly 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) Code V		spose 4 and (A) or	d of	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)		
Common Stock	12/12/2018		Р	5,385	A	\$ 5.57	30,385	D		

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

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 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. Transactic Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3,		ate	Secur	ınt of rlying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owno Follo Repo Trans (Instr
				Code V	4, and 5) (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

Reporting Owners

Reporting Owner Name / Addres		Relationships							
		Director	10% Owner	Officer	Other				
Kaplan Andrew E 1660 SOUTH ALBION S SUITE 525 DENVER, CO 80222	TREET	Х							
Signatures									
/s/ Andrew Kaplan	12/13/	2018							
**Signature of Reporting Person	Dat	e							

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.