SEC Form 4

## 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 1(b).

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL
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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person <sup>*</sup> Travers Paul J						2. Issuer Name <b>and</b> Ticker or Trading Symbol <u>Vuzix Corp</u> [ VUZI ]									5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director 10% Owner					
(Last) (First) (Middle) 25 HENDRIX ROAD, SUITE A					3. Date of Earliest Transaction (Month/Day/Year) 03/14/2023									Officer (g below)		Other (specify below) t and CEO				
(Street) WEST NY 14586 HENRIETTA (City) (State) (Zip)						4. If Amendment, Date of Original Filed (Month/Day/Year)								6. Indiv X	ndividual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person					
		Ta	ble I - No	n-Der	ivativ	e Se	curitie	s Acq	uired, I	Disp	osed of,	, or I	Benefi	cially Ov	/ned					
Date					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 a						6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)		7. Nature of Indirect Beneficial Ownership	
									Code	v	Amount		(A) or (D)	Price	(Instr. 3 an				(Instr. 4)	
Common Stock 03/1						03/14/2023			Р		2,557		Α	\$3.8699	2,830	),170	I	<b>)</b> (1)		
	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)	ar) if any (			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)			Secu Deriv	itle and A urities Ur vative Se tr. 3 and 4	curity	8. Price of Derivative Security (Instr. 5)	9. Number derivative Securities Beneficia Owned Following Reported Transacti (Instr. 4)	e C s F Ily D o g (l	0. Dwnership form: Direct (D) r Indirect ) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)		

Explanation of Responses:

1. 1,960,170 shares are held directly by Mr. Travers and 870,000 shares are held by grantor retained annuity trusts as follows: 609,000 shares by Serge Turcotte as trustee of the Paul Travers Annuity Trust I dated May 14, 2015, 182,700 shares by Serge Turcotte as trustee of the Paul Travers Annuity Trust II dated May 14, 2015, and 78,300 shares by Serge Turcotte as trustee of the Paul Travers Annuity Trust II dated May 14, 2015, and 78,300 shares by Serge Turcotte as trustee of the Paul Travers Annuity Trust II dated May 14, 2015, and 78,300 shares by Serge Turcotte as trustee of the Paul Travers Annuity Trust II dated May 14, 2015, and 78,300 shares by Serge Turcotte as trustee of the Paul Travers Annuity Trust II dated May 14, 2015, and 78,300 shares by Serge Turcotte as trustee of the Paul Travers Annuity Trust II dated May 14, 2015, and 78,300 shares by Serge Turcotte as trustee of the Paul Travers Annuity Trust II dated May 14, 2015, and 78,300 shares by Serge Turcotte as trustee of the Paul Travers Annuity Trust II dated May 14, 2015, and 78,300 shares by Serge Turcotte as trustee of the Paul Travers Annuity Trust II dated May 14, 2015, and 78,300 shares by Serge Turcotte as trustee of the Paul Travers Annuity Trust II dated May 14, 2015, and 78,300 shares by Serge Turcotte as trustee of the Paul Travers Annuity Trust II dated May 14, 2015, and 78,300 shares by Serge Turcotte as trustee of the Paul Travers Annuity Trust II dated May 14, 2015, and 78,300 shares by Serge Turcotte as trustee of the Paul Travers Annuity Trust II dated May 14, 2015, and 78,300 shares by Serge Turcotte as trustee of the Paul Travers Annuity Trust II dated May 14, 2015, and 78,300 shares by Serge Turcotte as trustee of the Paul Travers Annuity Trust II dated May 14, 2015, and 78,300 shares by Serge Turcotte as trustee of the Paul Travers Annuity Trust II dated May 14, 2015, and 78,300 shares by Serge Turcotte as trustee of the Paul Travers Annuity Trust II dated May 14, 2015, and 78,300 shares by Serge Turcotte as trustee of the

(D)

Date

Exercisable

Expiration

Title

Date

/s/ Paul Travers

\*\* Signature of Reporting Person

or

Number

of Shares

03/16/2023 Date

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

\* 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).

Code V (A)

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.