### Edgar Filing: UNIVERSAL TECHNICAL INSTITUTE INC - Form 4

#### UNIVERSAL TECHNICAL INSTITUTE INC

Form 4 April 23, 2007

# FORM 4

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

**OMB** 

Number:

Expires:

response...

Estimated average

burden hours per

if no longer subject to Section 16. Form 4 or Form 5

Check this box

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

See Instruction 1(b).

obligations

may continue.

(Print or Type Responses)

par value

Common

Stock.

\$0.0001

par value

1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading HARTMAN ROBERT D Issuer Symbol UNIVERSAL TECHNICAL (Check all applicable) INSTITUTE INC [UTI] (Last) (First) (Middle) 3. Date of Earliest Transaction \_X\_\_ Director 10% Owner Officer (give title Other (specify (Month/Day/Year) below) 20410 N. 19TH AVENUE, SUITE 04/19/2007 200 (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 PHOENIX, AZ 85027 Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 2. Transaction Date 2A. Deemed 1. Title of 3. 4. Securities Acquired (A) 5. Amount of 6. 7. Nature of Security (Month/Day/Year) Execution Date, if Transaction Disposed of (D) Securities Ownership Indirect (Instr. 3) Code (Instr. 3, 4 and 5) Beneficially Form: Beneficial (Month/Day/Year) (Instr. 8) Owned Direct (D) Ownership Following or Indirect (Instr. 4) Reported (I) (A) Transaction(s) (Instr. 4) or (Instr. 3 and 4) Code V Amount (D) Price Hartman Common 1997 Stock,  $S^{(1)}$ 1.600 D Charitable 04/19/2007 I \$0.0001

> 416,147 I

I

0

Remainder

Unitrust

Hartman

Charitable

Remainder

Unitrust

2007

## Edgar Filing: UNIVERSAL TECHNICAL INSTITUTE INC - Form 4

Common Stock, \$0.0001 par value			Hartman Investments Limited Partnership						
Common Stock, \$0.0001 par value	597,298	I	Hartman Family Trust						
Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.									
	Persons who respond to the col information contained in this for required to respond unless the f displays a currently valid OMB of	SEC 1474 (9-02)							

 $\label{thm:convergence} \begin{tabular}{ll} Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned \\ (\emph{e.g.}, puts, calls, warrants, options, convertible securities) \\ \end{tabular}$ 

number.

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. Transacti Code (Instr. 8)	5. orNumber of Derivativ Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)			7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option (Right to Buy)	\$ 20.5					12/17/2004	12/17/2013	Common Stock	102,141
Employee Stock Option (Right to Buy)	\$ 20.5					12/17/2004	12/17/2013	Common Stock	100
Employee Stock Option (Right to Buy)	\$ 38.46					02/16/2006	02/16/2015	Common Stock	35,000

# **Reporting Owners**

Reporting Owner Name / Address

Director 10% Owner Officer Other

HARTMAN ROBERT D

20410 N. 19TH AVENUE
SUITE 200
PHOENIX, AZ 85027

# **Signatures**

Robert D.
Hartman

\*\*Signature of Reporting Person

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).
- (1) The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on or about February 12, 2007.

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