Workhorse Group Inc.

Form 3

December 22, 2016

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

**OMB APPROVAL** 

**OMB** Number:

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

**SECURITIES** 

Section 17(a) of the Public Utility Holding Company Act of 1935 or Section

30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting

Person \*

DeMott Harry

(Last)

(First)

(Middle)

Statement

(Month/Day/Year)

09/15/2016

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

Workhorse Group Inc. [WKHS]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

C/O WORKHORSE GROUP INC.,, 100 COMMERCE DRIVE

(Street)

10% Owner \_X\_ Director Officer Other

(give title below) (specify below)

(Check all applicable)

6. Individual or Joint/Group Filing(Check Applicable Line)

\_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

LOVELAND. OHÂ 45140

1. Title of Security

(City)

(Instr. 4)

(State)

(Zip)

2. Amount of Securities Beneficially Owned

(Instr. 4)

3. Ownership Form:

Table I - Non-Derivative Securities Beneficially Owned

4. Nature of Indirect Beneficial

Ownership (Instr. 5)

Direct (D) or Indirect (I)

(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 Security

(Instr. 4)

2. Date Exercisable and **Expiration Date** 

(Month/Day/Year)

3. Title and Amount of Securities Underlying **Derivative Security** (Instr. 4)

Price of

4.

5. Ownership Conversion Form of Derivative

6. Nature of Indirect Beneficial

Date Exercisable Expiration

Date

Title

Amount or Number of Derivative Security

or Exercise

Ownership (Instr. 5)

Security: Direct (D) Edgar Filing: Workhorse Group Inc. - Form 3

## **Reporting Owners**

Reporting Owner Name / Address

Director 10% Owner Officer Other

DeMott Harry

C/O WORKHORSE GROUP INC., 100 COMMERCE DRIVE
LOVELAND, OHÂ 45140

## **Signatures**

/s/ Harry DeMott 12/22/2016

\*\*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).
- (1) 10,000 of the options vested on September 15, 2016 and 4,000 shall vest every June 30 and December 31 thereafter.

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.

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