

# **BROADWIND ENERGY, INC.**

Reported by  
**DUPREY PETER C.**

## **FORM 4**

(Statement of Changes in Beneficial Ownership)

Filed 05/06/15 for the Period Ending 05/04/15

Address	3240 S. CENTRAL AVENUE CICERO, IL 60804
Telephone	708-780-4800
CIK	0001120370
Symbol	BWEN
SIC Code	3360 - Nonferrous Foundries (castings)
Industry	Misc. Capital Goods
Sector	Capital Goods
Fiscal Year	12/31

# FORM 4

[ ] Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

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

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## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

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 *	2. Issuer Name and Ticker or Trading Symbol	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)
Duprey Peter C.	BROADWIND ENERGY, INC. [ BWEN ]	<input checked="" type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input checked="" type="checkbox"/> Officer (give title below) <input type="checkbox"/> Other (specify below) President and CEO
(Last) (First) (Middle)	3. Date of Earliest Transaction (MM/DD/YYYY)	
3240 S. CENTRAL AVENUE	5/4/2015	
(Street)	4. If Amendment, Date Original Filed (MM/DD/YYYY)	6. Individual or Joint/Group Filing (Check Applicable Line)
CICERO, IL 60804		<input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person
(City) (State) (Zip)		

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Trans. Date	2A. Deemed Execution Date, if any	3. Trans. Code (Instr. 8)		4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price			
Common Stock	5/4/2015		F		4517 (1)	D	\$3.98	311175 (2)	D	
Common Stock	5/6/2015		P		10000	A	\$3.90	321175 (2)	D	
Common Stock								5520	I	By 401(k) Plan

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

1. Title of Derivate Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Trans. Date	3A. Deemed Execution Date, if any	4. Trans. Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exercisable and Expiration Date		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction (s) (Instr. 4)	10. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Stock Option (Right to Buy)	\$17.70							(3)	11/15/2020	Common Stock	22000		22000	D	
Stock Option (Right to Buy)	\$3.40							(4)	5/4/2022	Common Stock	58083		58083	D	

### Explanation of Responses:

- (1) The reporting person has elected to satisfy his tax withholding obligation in connection with the vesting of a prior restricted stock unit grant by directing the Company to withhold shares otherwise issuable pursuant to the previously reported grant.
- (2) Includes (i) 14,521 restricted stock units that vest on 5/14/16; (ii) 32,500 restricted stock units that vest on 2/21/16; (iii) 23,927 restricted stock units that vest 11,963 shares on 2/20/16 and 11,964 shares on 2/20/17; and (iv) 56,651 restricted stock units that vest in increments of 18,884 shares on each of 2/19/16 and 2/19/18 and 18,883 shares on 2/19/17.
- (3) 5,500 shares vested on each of 11/15/11, 11/15/12, 11/15/13 and 11/15/14.
- (4) 14,520 shares vested on 5/4/13, 14,521 shares vested on each of 5/4/14 and 5/4/15, and 14,521 shares vest on 5/4/16.

### Reporting Owners

Reporting Owner Name / Address	Relationships

	Director	10% Owner	Officer	Other
<b>Duprey Peter C.</b> <b>3240 S. CENTRAL AVENUE</b> <b>CICERO, IL 60804</b>	<b>X</b>		<b>President and CEO</b>	

### Signatures

/s/ Peter C. Duprey

5/6/2015

\*\* Signature of Reporting Person

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).

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

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