

# **BROADWIND ENERGY, INC.**

# Reported by REILAND DAVID P

## FORM 4

(Statement of Changes in Beneficial Ownership)

## Filed 04/28/14 for the Period Ending 04/24/14

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





[ ] 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

OMB APPROVAL OMB Number: 3235-0287 Estimated average burden hours per response... 0.5

### 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	2. Issuer Name <b>and</b> Ticker or Trading Symbol (Check all applicable) 5. Relationship of Reporting Personal Check and Experimental Check a											Person(s)	to Issuer		
REILAND DA	AVID P			] [		OADW VEN]	IN	D E	NE	ERGY	, II	NC.		<b>X</b> Direc	etor		10%(	Owner	
(Last)	(First)	(N	Middle)	3	3. Date of Earliest Transaction (MM/DD/YYYY)						Officer (give title below) Other (spec- below)				(specify				
3240 S. CENT	TRAL A	VEN	UE					4/24	/2	014									
(Street)													6. Individual or Joint/Group Filing (Check Applicable Line)						
CICERO, IL	60804													V Form fi	lad by Ona	Danartina Da	waan.		
(City) (State) (Zip)															Form filed by One Reporting Person orm filed by More than One Reporting Person				
		Tabl	e I - Non-	-Deri	vativ	ve Secur	itie	s Acq	uiı	red, Di	spos	sed o	f, or	Beneficially	Owned	·			
1.Title of Security (Instr. 3)				2. Ti Date		2A. Deemed Execution Date, if	C	3. Trans. Code (Instr. 8)		4. Securities Acquired (A) Disposed of (I (Instr. 3, 4 and		or Followin D) (Instr. 3		Fo Di			Ownership of Indirect Form: Beneficial Direct (D) Ownership		
						any		Code	v	Amount	(A) or (D)	Price					or Indirect (I) (Instr. 4)	(Instr. 4)	
Common Stock				4/24	/2014	· I		A		2766	A	\$0		2090	06 (1)		D		
Tab	le II - De	rivativ	e Securit	ies B	enefi	icially O	)wn	ed ( <i>e</i>	.g.	, puts	, cal	ls, w	arrai	nts, options,	convert	ible secur	rities)	,	
1. Title of Derivate Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security			4. Trans Code (Instr. 8	B) Se Ac Di	Number of erivative ecurities equired (A) isposed of (nstr. 3, 4 and	) or (D)	and Expiration Date				7. Title and Amou Securities Underly Derivative Security (Instr. 3 and 4)		nderlying Security	8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following	Ownership Form of Derivative	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Code	v	(A) (I	D)	Date Exerc	isab	Expir Date	ation	Title	N	Amount or Number of Shares		Reported Transaction (s) (Instr. 4)	(I) (Instr. 4)		
Stock Option (Right to Buy)	\$102.50							(	(2)	4/16/	2018	Com		2500		2500	D		
Phantom Stock	(3)							(	(4)	(	4)	Com		4509		4509	D		

#### **Explanation of Responses:**

- (1) Includes 2,766 shares of restricted stock units which vest on 4/24/15.
- (2) 100% vested.
- (3) Each share of phantom stock is the economic equivalent of one share of Broadwind Energy common stock.
- (4) Phantom stock credited to participant's account in 2009 and 2011 pursuant to and under the conditions of the Broadwind Energy, Inc. Deferred Compensation Plan. The value of the participant's account shall be paid to the participant in a single lump-sum payment, in cash, on the earliest of the participant's separation from service, death or change-in-control.

Reporting Owners

Paparting Owner Name / Address	Relationships								
Reporting Owner Name / Address	Director	10% C	Owner	Officer	Other				
REILAND DAVID P									
3240 S. CENTRAL AVENUE	X								
CICERO, IL 60804									

#### **Signatures**

/s/ Ryan C. Brauer as Attorney-in-Fact for David P. Reiland pursuant to Power of Attorney previously filed

4/28/2014

\*\* 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.

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.