

ALPHA PRO TECH LTD

Form 4

September 05, 2013

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 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

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
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response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
HOFFMAN SHELDON

(Last) (First) (Middle)

**60 CENTURIAN DRIVE SUITE #
112**

(Street)

MARKHAM, A6 L3R 9R2

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
ALPHA PRO TECH LTD [APT]

3. Date of Earliest Transaction
(Month/Day/Year)
09/03/2013

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify
below) C.E.O.

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting
Person

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

1. Title of Security (Instr. 3)	2. Transaction 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 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)
common stock	09/03/2013		M	V Amount (A) or (D) Price 100,000 A \$ 1.23	1,170,189	D	
common stock	09/03/2013		S	V Amount (A) or (D) Price 100,000 D \$ 1.51	1,070,189	D	
common stock					410,051	I	by trust, Mr Hoffman disclaims beneficial ownership in Hoffman family trust

common stock	44,325	I	by spouse, Mr. Hoffman disclaims beneficial ownership
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Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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SEC 1474
(9-02)

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)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction 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 (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Share
employee stock options (right to buy)	\$ 1.23	09/03/2013		M		33,333		09/10/2009	09/10/2013	common stock	33,333
employee stock options (right to buy)	\$ 1.23	09/03/2013		M		33,333		09/10/2010	09/10/2013	common stock	33,333
employee stock options (right to buy)	\$ 1.23	09/03/2013		M		33,334		09/10/2011	09/10/2013	common stock	33,334

Reporting Owners

Reporting Owner Name / Address

Relationships

Director	10% Owner	Officer	Other
X		C.E.O.	

HOFFMAN SHELDON
60 CENTURIAN DRIVE SUITE # 112
MARKHAM, A6 L3R 9R2

Signatures

SHELLY
HOFFMAN

09/05/2013

 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) This total also reflects the expiration and disposition of 100,000 stock options granted to the reporting person on August 23,2006 with an exercise price of \$1.98, which expired on August 22, 2011 and 100,000 stock options granted to the reporting person on August 29,2007 with an exercise price of \$1.50, which expired on August 29, 2012 (the"Expired Options"). The reporting person did not receive any value in connection with the expiration of the Expired Options; therefore, the resulting disposition of the Expired Options was exempt from Section 16(b) by virtue of Rule 16b-6(d) and further from the reporting requirements of Section 16(a) by virtue of Rule 16a-4(d), both rules promulgated by the Securities and Exchange Commission pursuant to the Securities Exchange Act of 1934, as amended.

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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