

TRANS LUX Corp
Form 4/A
October 28, 2015

FORM 4

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

OMB APPROVAL

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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, 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 *
Shi Yaozhong

(Last) (First) (Middle)

445 PARK AVENUE, SUITE 2001

(Street)

NEW YORK, NY 10022

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
TRANS LUX Corp [TNLX]

3. Date of Earliest Transaction (Month/Day/Year)
06/27/2014

4. If Amendment, Date Original Filed (Month/Day/Year)
06/27/2014

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

 Director 10% Owner
 Officer (give title below) Other (specify below)

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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|--|
| | | | Code | V | Amount | (A) or (D) | Price |
| Common Stock | 06/27/2014 | | P | | 333,333 | A | \$ 6 333,333 |
| | | | | | | I | Director, member and majority owner of shares ⁽¹⁾ |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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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 Shares |
| Warrants | \$ 8 | 06/27/2014 | | A | 33,333 | 06/27/2014 | 06/26/2016 | Common Stock | 33,333 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| Shi Yaozhong 445 PARK AVENUE, SUITE 2001 NEW YORK, NY 10022 | X | X | | |

Signatures

Yaozhong Shi 10/28/2015

**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 shares are owned by Transtech LED Company Ltd. whose former name was Retop Industrial (Hong Kong) Limited. This entity's name changed into Transtech LED Company Ltd. on July 27, 2015. The shares were previously acquired by the same entity on June 27, 2014, prior to the name change. I am still a director, member and majority owner of Transtech LED Company Ltd. as of October 28, 2015. As such, I exercise voting and dispositive rights over the shares.

(2) The warrants are owned by Transtech LED Company Ltd. whose former name was Retop Industrial (Hong Kong) Limited. This entity's name changed into Transtech LED Company Ltd. on July 27, 2015. The warrants were previously acquired by the same entity on June 27, 2014, prior to the name change. I am still a director, member and majority owner of Transtech LED Company Ltd. as of October 28, 2015. As such, I exercise voting and dispositive rights over the underlying shares.

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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