

KONA GRILL INC
Form 4
September 23, 2014

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 *
Winczewski Anthony L

(Last) (First) (Middle)
200 S. 6TH STREET, SUITE 1300
(Street)

MINNEAPOLIS, MN 55402

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
KONA GRILL INC [KONA]

3. Date of Earliest Transaction
(Month/Day/Year)
09/19/2014

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)

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	09/19/2014			S	8,000 D \$ 17.83 (1) 0	D	
Common stock	09/19/2014			M	5,000 A \$ 3.39 5,000	D	
Common stock	09/19/2014			S	5,000 D \$ 17.83 (1) 0	D	
Common stock	09/19/2014			M	1,190 A \$ 5.15 1,190	D	
Common	09/19/2014			S	1,190 D \$ 0	D	

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stock						17.83		
						<u>(1)</u>		
Common stock	09/22/2014		M	4,100	A	\$ 5.15	4,100	D
Common stock	09/22/2014		S	4,100	D	\$ 17.41	0	D
						<u>(2)</u>		

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
Director Stock Option (Right to Buy)	\$ 3.39	09/19/2014		M	5,000	01/28/2011 ⁽³⁾ 01/28/2015	Common Stock	5,000
Director Stock Option (Right to Buy)	\$ 5.15	09/19/2014		M	1,190	02/25/2012 ⁽⁴⁾ 02/24/2016	Common Stock	1,190
Director Stock Option (Right to Buy)	\$ 5.15	09/22/2014		M	4,100	02/25/2012 ⁽⁴⁾ 02/24/2016	Common Stock	4,100

