

LOTZ MICHAEL
Form 3
August 09, 2018

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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 *

LOTZ MICHAEL

(Last) (First) (Middle)

410 N. 44TH STREET, SUITE 700

(Street)

PHOENIX, AZ 85008

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

08/09/2018

3. Issuer Name and Ticker or Trading Symbol
MESA AIR GROUP INC [MESA]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner

☒ Officer ☐ Other
(give title below) (specify below)

President and CFO

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

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 Beneficially Owned

1. Title of Security
(Instr. 4)

2. Amount of Securities Beneficially Owned
(Instr. 4)

3. Ownership Form:
Direct (D)
or Indirect (I)
(Instr. 5)

4. Nature of Indirect Beneficial Ownership
(Instr. 5)

Common Stock

236,780

D

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

SEC 1473 (7-02)

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

1. Title of Derivative Security
(Instr. 4)

2. Date Exercisable and Expiration Date
(Month/Day/Year)

Date Exercisable

3. Title and Amount of Securities Underlying Derivative Security
(Instr. 4)

Title

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:
Direct (D)

6. Nature of Indirect Beneficial Ownership
(Instr. 5)

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	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Restricted Stock Units	06/01/2018	Â (1)	Common Stock	36,280	\$ 0	D Â
Stock Appreciation Rights	07/21/2016 ⁽²⁾	07/20/2025	Common Stock	180,000	\$ 6.8	D Â
Stock Appreciation Rights	01/19/2017 ⁽³⁾	01/18/2026	Common Stock	180,000	\$ 7.1	D Â
Restricted Stock Award	07/21/2016	Â (4)	Common Stock	54,000	\$ 0	D Â
Restricted Stock Award	06/01/2017	Â (5)	Common Stock	45,915	\$ 0	D Â
Restricted Stock Award	06/01/2018	Â (6)	Common Stock	59,720	\$ 0	D Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
LOTZ MICHAEL 410 N. 44TH STREET, SUITE 700 PHOENIX, AZ 85008	Â	Â	Â President and CFO	Â

Signatures

/s/ Michael J.
Lotz

08/09/2018

**Signature of
Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(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) Each restricted stock unit represents the right to receive, on a one-for-one basis, common stock of the Company. The restricted stock units shall vest annually in equal one-third increments beginning on June 1, 2018, until fully vested.
- (2) Cash-settled stock appreciation rights.
- (3) Cash-settled stock appreciation rights, of which 60,000 shares remain unvested.
- (4) The restricted stock award vests as follows: Annually in equal increments beginning on July 21, 2016, until fully vested.
- (5) The restricted stock award vests as follows: Annually in equal one-third increments beginning on June 1, 2017, until fully vested.
- (6) The restricted stock award vests as follows: Annually in equal one-third increments beginning on June 1, 2018, until fully vested.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.