## SECURITIES AND EXCHANGE COMMISSION

## FORM 4

Statement of changes in beneficial ownership of securities

Filing Date: **2013-01-09** | Period of Report: **2013-01-09** SEC Accession No. 0001127602-13-001559

(HTML Version on secdatabase.com)

## REPORTING OWNER

### **JAMISON DOUGLAS W**

CIK:1211022

Type: 4 | Act: 34 | File No.: 814-00176 | Film No.: 13520910

Mailing Address 111 WEST 57TH STREET SUITE 1100 NEW YORK NY 10019

## **ISSUER**

#### HARRIS & HARRIS GROUP INC /NY/

CIK:893739| IRS No.: 133119827 | State of Incorp.:NY | Fiscal Year End: 1231 SIC: 6799 Investors, nec

Mailing Address 1450 BROADWAY FLOOR 24 NEW YORK NY 10018 Business Address 1450 BROADWAY FLOOR 24 NEW YORK NY 10018 212-582-0900

## FORM 4

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									
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nours per response	0.5									

# STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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

1. Name and Address JAMISON DO		son <u>*</u>	2. Issuer Name and Ticker or Trading Symbol HARRIS & HARRIS GROUP INC /NY/  [TINY]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director 10% OwnerX Officer (give title Other (specify below)				
(Last)	(First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year)	Chairman, CEO				
			01/09/2013					
1450 BROADWA	AY, FLOOR 24							
NEW YORK, NY	(Street)		4. If Amendment, Date Original Filed(Month/Day/Year)	6. Individual or Joint/Group Filing  (Check applicable line)  _XForm Filed by One Reporting Person  Form Filed by More than One Reporting Person				
(City)	(State)	(Zip)	_					

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

1.Title of Security (Instr. 3)	2. Transaction Date (Month/ Day/Year)	Deemed	3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)			Securities Beneficially Owned	Ownership Form: Direct (D)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	v		(A) or (D)		Following Reported Transaction(s) (Instr. 3 and 4)	,	
Common Stock	01/09/2013		<u>P</u> (1)		590	A	\$3.688	186,604	D	

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

	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/ Day/Year)	3A. Deemed Execution Date, if any (Month/ Day/ Year)	4. Transac Code (Instr. 8		5. Numl of Deriv Secu Acqu (A) of Dispo of (D) (Instr 4, an	rative rities ired rosed )	6. Date Exer and Expiratio (Month/Day/	on Date	7. Title a Amount Securitie Underlyi Derivativ Security and 4)	of es ng ve	of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	Derivative Security: Direct (D) or Indirect	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

### **Explanation of Responses:**

1. The purchase reported in this Form 4 was effected pursuant to an Employee Stock Purchase Plan adopted by the reporting person on June 9, 2011.

### **Signatures**

/s/ Jackie Matthews by Power of Attorney

01/09/2013

\*\* 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 Number.

#### POWER OF ATTORNEY

The undersigned, being a person required to file a statement under Section 16(a) of the Securities Exchange Act of 1934 (the "1934 Act") with respect to Harris & Harris Group, Inc., a New York corporation, hereby authorizes, designates and appoints Jackie Matthews, Carmen DeForest, or Sandra M. Forman to act as attorney-in-fact to execute and file statements on Form 3, Form 4 and Form 5 (including Form ID) and any successor forms adopted by the Securities Exchange Commission, as required by the 1934 Act and the Investment Company Act of 1940 and the rules thereunder, and to take such other actions as such attorney-in-fact may deem necessary or appropriate in connection with such statements, hereby confirming and ratifying all actions that such attorney-in-fact has taken or may take in reliance hereon. This power of attorney shall continue in effect until the undersigned no longer has an obligation to file statements under the section cited above, or until specifically terminated in writing by the undersigned.

IN WITNESS WHEREOF, the undersigned has duly executed this power of attorney on the 20th day of March 2009.

By: /s/ Douglas W. Jamison Douglas W. Jamison