FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

| STATEMENT | OF (| CHANGES | IN BENEF | ICIAL | OWNERSHI | P |
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| ONIB APPROVAL | | | | | | | | |
|--------------------------|-----------|--|--|--|--|--|--|--|
| OMB Number: | 3235-0287 | | | | | | | |
| Estimated average burder | n | | | | | | | |
| hours per response: | 0.5 | | | | | | | |

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b)

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

| 1. Name and Address of Reporting Person* ROEDEL RICHARD | | | | | 2. Issuer Name and Ticker or Trading Symbol LUNA INNOVATIONS INC [LUNA] | | | | | | | | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | | |
|---|--|--|---|---|--|--|----------------|---------------------|---|--|---------------------|---|---|--|--|--|--|
| | | | | | | | | | | | | X | Director | | 10% Ow | ner | |
| (Last) (First) (Middle) C/O LUNA INNOVATIONS INCORPORATED | | | | | 3. Date of Earliest Transaction (Month/Day/Year) 04/02/2018 | | | | | | | Officer (g below) | give title | Other (specified) | ecify | | |
| 301 1ST STREET SW, SUITE 200 | | | | | 4. If Amendment, Date of Original Filed (Month/Day/Year) | | | | | | | 6. Individual or Joint/Group Filing (Check Applicable | | | | | |
| (Street) ROANOKE VA 24011 | | | | | | | | | | | Line) | X Form filed by One Reporting Person Form filed by More than One Reporting Person | | | | | |
| (City) | (S | State) | (Zip) | | | | | | | | | | | | | | |
| | Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned | | | | | | | | | | | | | | | | |
| 1. Title of Security (Instr. 3) 2. Trans. Date (Month/I | | | te | action 2A. Deemed Execution Date, if any (Month/Day/Year) | | Code (Instr. | | | 5. Amount Securities Beneficiall Owned Fol Reported | Form ly (D) o | r Indirect Estr. 4) | Nature of direct eneficial wnership | | | | | |
| | | | | | | | Code | <u> </u> | Amount | (A) or (D) | Price | Transactio | Transaction(s) (Instr. 3 and 4) | | nstr. 4) | | |
| | 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. Transa Code (8) | | 5. Number of Derivative Securities Acquired (A Disposed of (Instr. 3, 4 a 5) | () or f (D) | Expiration Day/ | | 6. Date Exercisable and Expiration Date (Month/Day/Year) | | d Amount ies g Derivative Instr. 3 and | 8. Price of Derivative Security (Instr. 5) | 9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s | 10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) | |
| | | | | Code | v | (A) | (D) | Date Exercisable | | xpiration ate | Title | Amount or Number of Shares | | (Instr. 4) | | | |
| Stock Units | (1) | 04/02/2018 | | A | | 3,846.15 ⁽²⁾ | | (3) | | (3) | Common Stock | 3,846.15 | \$3.25 | 215,525.72 | D | | |
| Stock Units | (1) | 04/02/2018 | | A | | 230.77 ⁽⁴⁾ | | (3) | | (3) | Common Stock | 230.77 | \$3.25 | 215,756.49 | D | | |

Explanation of Responses:

- 1. Stock units are convertible into issuer's common stock on a 1-for-1 basis.
- 2. This grant was made pursuant to issuer's non-employee director compensation policy, as compensation for Mr. Roedel's service as chairman of the board of directors for the period from April 1, 2018 to June 30, 2018. The number of restricted stock units is equal to \$12,500.00 divided by \$3.25, the closing price of the issuer's common stock on the Nasdaq Capital Market on April 2, 2018, the first trading day of the quarter. The Reporting Person elected to receive fees in stock units.
- 3. The stock units become issuable in common stock of the issuer at the election of the Reporting Person upon the earliest to occur of the Reporting Person's termination of service, a change in control of the issuer, an unforeseeable emergency, or a fixed date selected by the Reporting Person. The units have no expiration date.
- 4. This grant was made pursuant to issuer's non-employee director compensation policy, as compensation for Mr. Roedel's service on the compensation committee of the board of directors for the period from April 1, 2018 to June 30, 2018. The number of restricted stock units is equal to \$750.00 divided by \$3.25, the closing price of the issuer's common stock on the Nasdaq Capital Market on April 2, 2018, the first trading day of the quarter. The Reporting Person elected to receive fees in stock units.

Remarks:

/s/ Scott A. Graeff, Attorney-In-

** Signature of Reporting Person

04/04/2018

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.