SEC Form 4

## FORM 4

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

### STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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

| OMB APPROVAL | |
|---|---|
| OMB Number: | 3235-0287 |
| **Estimated average burden** | |
| hours per response: | 0.5 |

| 1. Name and Address of Reporting Person [*] <br><br> Pavlish John <br><br> (Last)        (First)        (Middle) <br><br> 2517 KINCAID PL <br><br> (Street) <br><br> THE VILLAGES   FL        32163 <br><br> (City)        (State)        (Zip) | 2. Issuer Name **and** Ticker or Trading Symbol <br><br> Midwest Energy Emissions Corp. [ MEEC ] <br><br> 3. Date of Earliest Transaction (Month/Day/Year) <br> 06/28/2023 | 5. Relationship of Reporting Person(s) to Issuer <br> (Check all applicable) <br><br> Director      10% Owner <br> X Officer (give title below)      Other (specify below) <br><br> Senior VP/Chief Tech Officer |
|---|---|---|
| | 4. If Amendment, Date of Original Filed (Month/Day/Year) | 6. Individual or Joint/Group Filing (Check Applicable Line) <br><br> X Form filed by One Reporting Person <br> Form filed by More than One Reporting Person |
| | Rule 10b5-1(c) Transaction Indication <br><br> Check this box to indicate that a transaction was made pursuant to a contract, instruction or written plan that is intended to satisfy the affirmative defense conditions of Rule 10b5-1(c). See Instruction 10. | |

### 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 Indirect Beneficial Ownership (Instr. 4) |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | Code | V | Amount | (A) or (D) | Price | | | |
| Common Stock | 06/28/2023 | | M | | 13,750[(1)] | A | $0.21 | 1,069,182 | D | |
| Common Stock | 06/28/2023 | | F | | 9,625[(1)] | D | $0.3 | 1,059,557 | D | |

### 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 Securities Underlying Derivative Security (Instr. 3 and 4) | | 8. Price of Derivative Security (Instr. 5) | 9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4) | 10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | Code | V | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | | | |
| Stock Option (Right to Buy) | $0.21 | 06/28/2023 | | M | | | 13,750 | 06/30/2018 | 06/30/2023 | Common Stock | 13,750 | $0 | 0 | D | |

**Explanation of Responses:**

1. Reflects shares of the Issuer's common stock acquired by the Reporting Person through the cashless exercise of an option to acquire 13,750 shares of common stock, pursuant to which 9,625 shares were withheld by the Issuer at a market price of $0.30 per share to pay the exercise price of $0.21 per share, resulting in 4,125 shares of common stock being issued to the Reporting Person on a net basis.

/s/ John Pavlish                    06/30/2023

** 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.**