

A123 SYSTEMS, INC.

Form 4

October 01, 2009

FORM 4**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

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

**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

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
**GENERAL ELECTRIC CAPITAL
CORP**

(Last) (First) (Middle)

3135 EASTON TURNPIKE

(Street)

FAIRFIELD, CT 06828-0001

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
A123 SYSTEMS, INC. [AONE]

3. Date of Earliest Transaction
(Month/Day/Year)
09/29/2009

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 Indirect Beneficial Ownership (Instr. 4)
Common Stock	09/29/2009		C(4)	800,945	A (4) 800,945	D (1) (5)	
Common Stock	09/29/2009		C(4)	2,382,925	A (4) 2,382,925	D (2) (5)	
Common Stock	09/29/2009		C(4)	2,497,918	A (4) 4,880,843	D (2) (5)	
Common Stock	09/29/2009		C(4)	1,631,191	A (4) 6,512,034	D (2) (5)	
Common Stock					900,277	D (3) (5)	

Edgar Filing: A123 SYSTEMS, INC. - Form 4

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

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 control number.

SEC 1474
(9-02)

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 Number Shares
Series C Convertible Preferred Stock	(4)	09/29/2009		C(4)	800,945	(4) (4)	Common Stock 800,9
Series D Convertible Preferred Stock	(4)	09/29/2009		C(4)	2,382,925	(4) (4)	Common Stock 2,382,
Series E Convertible Preferred Stock	(4)	09/29/2009		C(4)	1,808,068	(4) (4)	Common Stock 2,497,
Series F Convertible Preferred Stock	(4)	09/29/2009		C(4)	1,631,191	(4) (4)	Common Stock 1,631,

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
GENERAL ELECTRIC CAPITAL CORP 3135 EASTON TURNPIKE FAIRFIELD, CT 06828-0001	X
GENERAL ELECTRIC CAPITAL SERVICES INC/CT 3135 EASTON TURNPIKE FAIRFIELD, CT 06828-0001	See Exhibit 99.1
GE CAPITAL EQUITY INVESTMENTS INC 201 MERRITT 7	See Exhibit

NORWALK, CT 06851	99.1
GE CAPITAL CFE INC	See
201 MERRITT 7	Exhibit
NORWALK, CT 06856	99.1
GPSF Securities, Inc.	See
201 MERRITT 7	Exhibit
NORWALK, CT 06851	99.1
GENERAL ELECTRIC CO	See
3135 EASTON TURNPIKE	Exhibit
FAIRFIELD, CT 06828	99.1

Signatures

/s/ Barbara A. Lane, Attorney-in-Fact for
GECC

10/01/2009

__Signature of Reporting Person

Date

Explanation of Responses:

* 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).

- (1) Directly owned by GE Capital CFE, Inc. ("GECFE").
- (2) Directly owned by GE Capital Equity Investments, Inc. ("GECEI").
- (3) Directly owned by GPSF Securities, Inc. ("GPSF").

- (4) The Issuer's preferred stock reported herein is convertible at any time by the holder and has no expiration date, but is subject to mandatory conversion or redemption upon certain events. On September 30, 2009, upon the closing of the Issuer's initial public offering, each share of preferred stock reported herein converted automatically into one share of common stock, except that each share of Series E Convertible Preferred Stock converted automatically into 1.38154 shares of common stock.

- (5) Indirectly owned by General Electric Capital Corporation ("GE Capital") because, among other things, GPSF, GECFE, or GECEI, as the case may be, is a direct or indirect wholly-owned subsidiary of GE Capital. GPSF, GECFE, GECEI and GE Capital disclaim beneficial ownership except to the extent of their respective pecuniary interest. See Exhibit 99.1, incorporated by reference herein. Upon the closing of the of the Issuer's initial public offering, none of the Reporting Persons were 10% Owners.

Remarks:

Exhibit 99.1: Joint Filer Information, incorporated herein by reference.

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.