FORM 4

## **UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

|   | OMB APPROVAL             |           |  |  |  |  |  |  |  |  |  |
|---|--------------------------|-----------|--|--|--|--|--|--|--|--|--|
| , | OMB Number:              | 3235-0287 |  |  |  |  |  |  |  |  |  |
|   | Estimated average burden |           |  |  |  |  |  |  |  |  |  |

0.5

hours per response:

| 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

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

| Name and Address of Reporting Person*     Howe Alan B         |  |       |               |   | <u>OR</u>      | 2. Issuer Name and Ticker or Trading Symbol ORION ENERGY SYSTEMS, INC. [ OESX ] |  |   |                  |   |               |        |  | (Che   | eck all app<br>X Direc     | licable)<br>tor  | ng Person(s) to Is   |   | wner |  |
|---|--|-------|---------------|---|----------------|---|--|---|------------------|---|---------------|--------|--|--|----------------------------|--|--|---|------|--|
| (Last)<br>2210 W(   | Last) (First) (Middle) 2210 WOODLAND DRIVE   |       |               | 3. Date of Earliest Transaction (Month/Day/Year) 06/09/2020 |                |   |  |   |                  |   |               |        |  | below  | er (give title             |  | Other (<br>below)  | specify   |      |  |
| (Street)  MANITO  (City)                                      | OWOC W   |       | 54220<br>Zip) |   | 4. If <i>A</i> | 4. If Amendment, Date of Original Filed (Month/Day/Year)                        |  |   |                  |   |               |        |  |  | e)<br><mark>X</mark> Form  | or Joint/Group Filing (Check Applicable<br>rm filed by One Reporting Person<br>rm filed by More than One Reporting<br>rson |  |   |      |  |
|   |  | Table | l - No        | n-Deriva  | tive S         | Secu  | rities   | Acq                                       | uired,           | Dis   | posed of      | , or E | 3ene   | ficia  | lly Own                    | ed   |  |   |      |  |
| 1. Title of Security (Instr. 3)  2. Transac Date (Month/Date) |  |       |               |   | Exe<br>if an   | Deemed<br>ecution Date,<br>ny<br>onth/Day/Year)                                 |  | 3. 4. Securitie Disposed (Code (Instr. 8) |                  |   |               |        |  | Benefic  | ies<br>cially<br>Following | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4)  |  | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |      |  |
|   |  |       |               |   |                |   |  | Code                                      | v                | Amount  | (A) or<br>(D) |        | Price  | Transa   | ction(s)<br>3 and 4)       |  |  | (5011 4)  |      |  |
| Common Stock 06/09/   |  |       |               |   | 2020           |   |  |   | A <sup>(1)</sup> |   | 11,479        | 1      | A  | \$ <mark>0</mark>  | 20,512                     |  |  | D   |      |  |
|   | Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) |       |               |   |                |   |  |   |                  |   |               |        |  |  |                            |  |  |   |      |  |
| 1. Title of<br>Derivative<br>Security<br>(Instr. 3)           | ve Conversion Date or Exercise (Month/Day/Year)   Execution Date, if any   |       | Code ( 8)     | ransaction of Code (Instr. Derivative                       |                | vative<br>irities<br>iired<br>r<br>osed<br>)<br>r. 3, 4                         | 6. Date Exercisable and Expiration Date (Month/Day/Year)  Date Expiration Exercisable Date |   |                  | 7. Title and Amount of Securities Underlying Derivative Security (Inst 3 and 4)  Amoun or Numbo of Title Shares |               | str.   | 3. Price of<br>Oerivative<br>Security<br>Instr. 5) | 9. Number<br>derivative<br>Securities<br>Beneficiall<br>Owned<br>Following<br>Reported<br>Transactio<br>(Instr. 4) | y G                        | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>I) (Instr. 4)  | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |   |      |  |

## **Explanation of Responses:**

1. Restricted stock granted to the reporting person under the Orion Energy Systems, Inc. 2016 Omnibus Incentive Plan, as amended. The restricted stock vests and becomes exercisable with respect to 1/3 of the restricted stock on each of June 9, 2021, 2022 and 2023, respectively.

/s/ Steven R. Barth, Attorneyin-Fact for Alan B. Howe 06/11/2020

\*\* Signature of Reporting Person Date

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

- $^{\star}$  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.