**ENCISION INC** Form 4

November 09, 2016

#### UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

OMB Number:

3235-0287

Expires:

January 31, 2005

0.5

Estimated average

**OMB APPROVAL** 

burden hours per response...

**SECURITIES** 

if no longer subject to Section 16. Form 4 or

Check this box

Form 5 obligations may continue.

See Instruction

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

(Print or Type Responses)

1(b).

(Last)

(City)

1. Name and Address of Reporting Person \* Ray Mala M

(Middle) (First)

6797 WINCHESTER CIRCLE

(Street)

BOULDER, CO 80301

(State) (Zip)

2. Issuer Name and Ticker or Trading Symbol

**ENCISION INC [ecia]** 

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

06/27/2012

4. If Amendment, Date Original

Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

Director 10% Owner X\_ Officer (give title Other (specify below)

Corporate Secretary & Treasure

6. Individual or Joint/Group Filing(Check

Applicable Line) \_X\_ 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 2. Transaction Date 2A. Deemed Security (Month/Day/Year) (Instr. 3)

Execution Date, if (Month/Day/Year)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8)

Code V Amount (D) Price

(Instr. 3, 4 and 5)

(A)

5. Amount of Securities Beneficially Owned Following Reported

Transaction(s) (Instr. 3 and 4)

6. Ownership Form: Direct (T) (Instr. 4)

7. Nature of Indirect (D) or Indirect Beneficial Ownership

(Instr. 4)

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

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

1. Title of Derivative Security

Conversion or Exercise

3. Transaction Date 3A. Deemed (Month/Day/Year) Execution Date, if

any

4. 5. Number of TransactionDerivative Code Securities

6. Date Exercisable and **Expiration Date** (Month/Day/Year)

7. Title and Amount Underlying Securities (Instr. 3 and 4)

#### Edgar Filing: ENCISION INC - Form 4

(Instr. 3)	Price of Derivative Security		(Month/Day/Year)	(Instr. 8)	Acquired (A) or Disposed (D) (Instr. 3, 4, and 5)				
				Code V	(A) (I	D) Date Exercisable	Expiration Date	Title	Amous or Numb of Sha
Common Stock Option- right to buy	\$ 1.34	06/27/2012		A	20,000	<u>(1)</u>	09/27/2017	Common Stock	20,00
Common Stock Options-right to buy	\$ 1.15	01/22/2014		A	20,000	<u>(2)</u>	04/22/2019	Common Stock	20,00
Common Stock Options- right to buy	\$ 0.5	08/05/2015		A	10,000	(3)	11/05/2020	Common Stock	10,00
Common Stock Options-right to buy	\$ 0.31	08/10/2016		A	15,000	<u>(4)</u>	08/10/2021	Common Stock	15,00

# **Reporting Owners**

Reporting Owner Name / Address	Relationships
Reporting Owner Name / Address	

Director 10% Owner Officer Other

Ray Mala M

6797 WINCHESTER CIRCLE BOULDER, CO 80301 Corporate Secretary & Treasure

## **Signatures**

Mala Ray 11/09/2016

\*\*Signature of 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) The shares subject to the option grant vest in equal installments on each of June 27, 2013, June 27, 2014, June 27, 2015, June 27, 2016 and June 27, 2017.
- (2) The shares subject to the option grant vest in equal installments on each of January 22, 2015, January 22, 2016, January 22, 2017, January 22, 2018 and January 22, 2019.
- (3) The shares subject to the option grant vest in equal installments on each of August 5, 2016, August 5, 2017, August 5, 2018, August 5, 2019 and August 5, 2020.

Reporting Owners 2

### Edgar Filing: ENCISION INC - Form 4

(4) The shares subject to the option grant vest in equal installments on each of August 10, 2017, August 10, 2018, August 10, 2019, August 10, 2020 and August 10, 2021.

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.