

ENCISION INC
Form 4
November 09, 2016

FORM 4

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
FRIES ROBERT H

(Last) (First) (Middle)
800 FILLMORE ST
(Street)
DENVER, CO 80206
(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
ENCISION INC [ecia]

3. Date of Earliest Transaction
(Month/Day/Year)
05/08/2013

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 Ownership (Instr. 4) | |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|-------|
| | | | | (A) or (D) | Price | | | |
| | | | | Code | V | Amount | (D) | Price |

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

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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 | 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) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Security (Instr. 3 and 4) |
|--|------------------------------------|--------------------------------------|--|--------------------------------|---|--|---|
|--|------------------------------------|--------------------------------------|--|--------------------------------|---|--|---|

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| | Derivative Security | | | or Disposed of (D) (Instr. 3, 4, and 5) | | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | |
|-----------------------------------|---------------------|------|---|---|-----|------------------|-----------------|------------|----------------------------|--------|
| | | Code | V | (A) | (D) | | | | | |
| Common Stock Options-right to buy | \$ 1.45 | | | 05/08/2013 | A | 10,000 | (1) | 08/08/2019 | Common stock | 10,000 |
| Common stock options-right to buy | \$ 1 | | | 11/06/2013 | A | 5,000 | (2) | 02/06/2019 | Common Stock | 5,000 |
| Common Stock Options-right to buy | \$ 0.7 | | | 10/22/2014 | A | 10,000 | (3) | 01/22/2020 | Common Stock | 10,000 |
| Common Stock Options-right to buy | \$ 0.5 | | | 08/05/2015 | A | 10,000 | (4) | 11/05/2020 | Common Stock | 10,000 |
| Common Stock Options-right to buy | \$ 0.31 | | | 08/10/2016 | A | 10,000 | (5) | 11/10/2021 | Common Stock | 10,000 |
| Common Stock Options-right to buy | \$ 0.35 | | | 10/26/2016 | A | 5,000 | (6) | 01/26/2022 | Common Stock | 5,000 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| FRIES ROBERT H 800 FILLMORE ST DENVER, CO 80206 | | X | | |

Signatures

Mala Ray 11/09/2016

**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) The shares subject to the option grant vest in 24 equal monthly installments after the May 8, 2014 service date.
- (2) The shares subject to the option grant vest in 24 equal monthly installments after the November 6, 2014 service date.
- (3) The shares subject to the option grant vest in 24 equal monthly installments after the October 22, 2015 service date.
- (4) The shares subject to the option grant vest in 24 equal monthly installments after the August 5, 2016 service date.
- (5) The shares subject to the option grant vest in 24 equal monthly installments after the August 10, 2017 service date.
- (6) The shares subject to the option grant vest in 24 equal monthly installments after the October 26, 2017 service date.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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