

Brennan Peter F
Form 4
March 06, 2018

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

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(Print or Type Responses)

1. Name and Address of Reporting Person *
Brennan Peter F

2. Issuer Name **and** Ticker or Trading
Symbol
CALMARE THERAPEUTICS Inc
[CTTC]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)
1375 KINGS HIGHWAY EAST
(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
02/12/2018

☒ Director ☐ 10% Owner
☐ Officer (give title below) ☐ Other (specify below)

FAIRFIELD, CT 06824

4. If Amendment, Date Original
Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting
Person

(City) (State) (Zip)

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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price (1) (2) (3) (4) (5)
Common Stock	02/12/2018		M		4,594,117	A	13,850,181

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

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information contained in this form are not
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SEC 1474
(9-02)

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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 or Number of Shares
Warrant	\$ 0.6	02/12/2018		C		123,530		<u>(1)</u>	<u>(1)</u>	Common Stock	123,530
Warrant	\$ 0.6	02/12/2018		C		411,765		<u>(2)</u>	<u>(2)</u>	Common Stock	411,765
Warrant	\$ 0.13	02/12/2018		C		764,706		<u>(3)</u>	<u>(3)</u>	Common Stock	764,706
Warrant	\$ 0.13	02/12/2018		C		1,882,362		<u>(4)</u>	<u>(4)</u>	Common Stock	1,882,362
Warrant	\$ 0.125	02/12/2018		C		1,411,765		<u>(5)</u>	<u>(5)</u>	Common Stock	1,411,765

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Brennan Peter F 1375 KINGS HIGHWAY EAST FAIRFIELD, CT 06824	X			

Signatures

/s/ Peter
Brennan

03/06/2018

**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).

The Reporting Person received a warrant to purchase 123,530 shares of Common Stock on 02/23/2017 in connection with a Note Purchase Agreement executed on that date. The exercise price was \$0.60 per share. The warrant was exercisable immediately and expired in one year-02/23/2018.

The Reporting Person received a warrant to purchase 411,765 shares of Common Stock on 05/16/2017 in connection with a Note Purchase Agreement executed on that date. The exercise price was \$0.60 per share. The warrant was exercisable immediately and expired in one year-05/16/2018.

(3) The Reporting Person received a warrant to purchase 764,706 shares of Common Stock on 07/24/2017 in connection with a Note Purchase Agreement executed on that date. The exercise price was \$0.13 per share. The warrant was exercisable immediately and expired

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in one year - 07/24/2018.

The Reporting Person received a warrant to purchase 1,882,352 shares of Common Stock on 12/29/2017 in connection with a Note

- (4) Purchase Agreement executed on that date. The exercise price was \$0.13 per share. The warrant was exercisable immediately and expired in one year-12/29/2018.

The Reporting Person received a warrant to purchase 1,411,765 shares of Common Stock on 02/01/2018 in connection with a Note

- (5) Purchase Agreement executed on that date. The exercise price was \$0.125 per share. The warrant was exercisable immediately and expired in one year- 02/01/2019.

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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