ENCISION INC Form 4

November 09, 2016

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this box if no longer STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF subject to **SECURITIES** Section 16. Form 4 or

Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person *

(First)

(Street)

(State)

6797 WINCHESTER CIRCLE

Ray Mala M

(Last)

(City)

(Instr. 3)

2. Issuer Name and Ticker or Trading

Symbol **ENCISION INC [ecia]**

(Middle)

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

OMB

Number:

Expires:

response...

Estimated average

burden hours per

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

BOULDER, CO 80301

1. Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year)

Execution Date, if (Month/Day/Year)

(Zip)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 3, 4 and 5) (Instr. 8)

5. Amount of Securities Beneficially Owned Following

Reported

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

6. Ownership 7. Nature of Form: Direct Indirect (D) or Indirect Beneficial Ownership

OMB APPROVAL

3235-0287

January 31,

2005

0.5

(T) (Instr. 4) (Instr. 4)

(A) Transaction(s) (Instr. 3 and 4) Code V Amount (D) Price

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 3. Transaction Date 3A. Deemed 4. 5. Number of 6. Date Exercisable and 7. Title and Amount Derivative Conversion (Month/Day/Year) Execution Date, if TransactionDerivative **Expiration Date** Underlying Securities Security or Exercise Code Securities (Month/Day/Year) (Instr. 3 and 4) any

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(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

D (1 0 N // 1)	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.
- 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

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(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.