

EQUELS THOMAS K.

Form 4

March 12, 2019

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 *
EQUELS THOMAS K.

2. Issuer Name **and** Ticker or Trading
Symbol

HEMISPHERX BIOPHARMA INC
[HEB]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

2117 SW HIGHWAY 484

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
02/27/2019

☒ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)
Exec. Vice Chairman/CEO/Pres.

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

OCALA, FL 34473

(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 Indirect Beneficial Ownership (Instr. 4)
Series B Convertible Preferred Stock ⁽¹⁾	02/27/2019		X	65 ⁽¹⁾	A ⁽¹⁾ ⁽³⁾	65	D
Warrants ⁽²⁾	02/27/2019		X	325,000 ⁽²⁾	A ⁽²⁾ ⁽³⁾	325,000	D

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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(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
Subr Rights(to buy)	\$ 1,000	02/27/2019		X	65	02/14/2019 03/05/2019	Pref Stk/Warrants (1) (2) (3)

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
EQUELS THOMAS K. 2117 SW HIGHWAY 484 OCALA, FL 34473	X Exec. Vice Chairman/CEO/Pres.

Signatures

Thomas K.
Equels 03/12/2019

**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) Each share has a stated value of \$1,000 and is convertible into 5,000 shares of common stock and was issued as part of a subscription right issued in a rights offering.
- (2) Each warrant is exercisable for one share of common stock at an exercise price of \$0.20 per share and was issued as part of a subscription right issued in a rights offering.
- (3) Represents \$1,000 per unit purchased in the rights offering, each unit consisting of 1 share of Series B Preferred Stock and 5,000 warrants.

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.