**ENCISION INC** Form 4

November 21, 2016

Check this box

if no longer

subject to

Section 16.

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

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).

(Last)

(City)

(Print or Type Responses)

1. Name and Address of Reporting Person \* PACE PATRICK W

(First)

(State)

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

(Middle)

**ENCISION INC [ecia]** 3. Date of Earliest Transaction

X\_ Director 10% Owner

(Check all applicable)

1025 OLD GARTH RD

(Month/Day/Year) 04/18/2012

Other (specify Officer (give title below)

(Street) 4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year)

Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

CHARLOTTESVILLE, VA 22901

Person

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

1.Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3)

(Month/Day/Year)

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

Code V Amount (D) Price

5. Amount of 6. Ownership Securities Form: Direct Beneficially Owned Following (Instr. 4) Reported

7. Nature of Indirect (D) or Indirect Beneficial Ownership (Instr. 4)

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

OMB

Number:

Expires:

response...

Estimated average

burden hours per

(A) or

Transaction(s) (Instr. 3 and 4)

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

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)

Conversion or Exercise Price of

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

Execution Date, if (Month/Day/Year)

5. Number of 4 **Transaction**Derivative Code Securities (Instr. 8) Acquired (A)

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

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

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	Derivative Security			or Disposed of (D) (Instr. 3, 4, and 5)	f			
			Code V	(A) (D)	) Date Exercisable	Expiration Date	Title	Amou or Numb of Sha
Common Stock Options-right to buy	\$ 1.15	04/18/2012	D	10,000	<u>(1)</u>	07/18/2017	Common Stock	10,00
Common Stock Option-right to buy	\$ 1.15	08/07/2013	D	20,000	(2)	11/07/2018	Common Stock	20,00
Common Stockk Option-right to buy	\$ 0.85	12/27/2013	D	20,000	(3)	03/27/2019	Common Stock	20,00
Restricted Stock Units	\$ 0.7	10/22/2014	D	14,286	<u>(4)</u>	01/22/2020	Common Stock	14,28
Restricted Stock Unit	\$ 0.5	08/05/2015	D	10,000	<u>(5)</u>	11/05/2020	Common Stock	10,00
Common Stock Options-right to buy	\$ 0.31	08/10/2016	D	10,000	<u>(6)</u>	11/10/2021	Common Stock	10,00

## **Reporting Owners**

CHARLOTTESVILLE, VA 22901

Reporting Owner Name / Address	Relationships					
<b>F8</b>	Director	10% Owner	Officer	Other		
PACE PATRICK W						
1025 OLD GARTH RD	X					

### **Signatures**

Mala M Ray 11/21/2016

\*\*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 33% after the first year and in 24 equal monthly installments there after.

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- (2) The shares subject to the option grant vest 33% after the first year and in 24 equal monthly installments there after.
- (3) The shares subject to the option grant vest 33% after the first year and in 24 equal monthly installments there after.
- (4) The shares subject to this restricted stock grant vest 33% after the first year and in 24 equal monthly installments there after.
- (5) The shares subject to this restricted stock grant vest 33% after the first year and in 24 equal monthly installments there after.
- (6) The shares subject to this stock option grant vest 33% after the first year and in 24 equal monthly installments there after.

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.