Guzzetta Michael Richard Form 4 November 13, 2018

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL OMB** 

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Form 5 obligations may continue. See Instruction

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(b).

1. Name and Address of Reporting Person \* Guzzetta Michael Richard

(First) (Middle) (Last)

(Street)

(State)

**412 MULBERRY STREET** 

(City)

(Instr. 3)

Common

Stock

2. Issuer Name and Ticker or Trading

Symbol ProtoKinetix, Inc. [PKTX]

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

11/09/2018

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director 10% Owner X\_ Officer (give title Other (specify

below) below) **CFO** 

6. Individual or Joint/Group Filing(Check Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting Person

MARIETTA, OH 45750

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

(Month/Day/Year)

(Zip)

3. TransactionAcquired (A) or Code (Instr. 8)

4. Securities Disposed of (D) (Instr. 3, 4 and 5) 5. Amount of Securities Beneficially Owned Following Reported

Form: Direct (D) or Indirect (I) (Instr. 4)

D

6. Ownership 7. Nature of Indirect Beneficial Ownership (Instr. 4)

(9-02)

(A) Transaction(s) or (Instr. 3 and 4)

Code V Amount (D) Price

61,487

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

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Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

#### Edgar Filing: Guzzetta Michael Richard - Form 4

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5. Number of 6. Date Exercisable and		cisable and	7. Title and Amount of		
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	TransactionDerivative			Expiration Date		<b>Underlying Securities</b>	
Security	or Exercise		any	Code	Securities		(Month/Day/Year)		(Instr. 3 and 4)	
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Acquired (A)	or				
	Derivative				Disposed of (	D)				
	Security				(Instr. 3, 4, and 5)					
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount Number Shares
Stock Option	\$ 0.09	11/09/2018		A	4,000,000		<u>(1)</u>	11/08/2023	Common Stock	4,000,0
Stock Option	\$ 0.07						(2)	11/14/2021	Common Stock	1,000,0

### **Reporting Owners**

Reporting Owner Name / Address	Relationships					
.r. g	Director	10% Owner	Officer	Other		
Guzzetta Michael Richard						
412 MULBERRY STREET			CFO			
MARIETTA, OH 45750						

# **Signatures**

/s/ Michael R.
Guzzetta

\*\*Signature of Reporting

Date

Person

## **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).
- Options issued pursuant to the Amended 2017 Stock Option and Stock Bonus Plan on November 9, 2018. 1,000,000 shares of common stock vest March 31, 2019; thereafter 1,000,000 shall vest every three months until fully vested on December 31, 2019.
- Options issued pursuant to 2017 Stock Option and Stock Bonus Plan on November 14, 2017. 250,000 shares of common stock vested February 14, 2018; thereafter 250,000 shall vest every three months until fully vested on November 30, 2018.

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.

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