DELCATH SYSTEMS, INC.

Form 4 June 17, 2016

## FORM 4

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

**OMB** 3235-0287 Number:

Check this box if no longer

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

January 31, Expires: 2005

**OMB APPROVAL** 

subject to Section 16. Form 4 or Form 5 obligations

may continue.

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

burden hours per response... 0.5

Estimated average

See Instruction 1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading Purpura John Issuer Symbol DELCATH SYSTEMS, INC. (Check all applicable) [DCTH] (Last) (First) (Middle) 3. Date of Earliest Transaction Director 10% Owner X\_ Officer (give title Other (specify (Month/Day/Year) below) C/O DELCATH SYSTEMS. 06/16/2016 EVP, Regulatory Affairs INC., 1633 BROADWAY, SUITE 22C (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 NEW YORK, NY 10019 (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1.Title of<br>Security | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if | 3. 4. Securities Acquired Transaction(A) or Disposed of (D) |                     |           | 5. Amount of Securities | 6. Ownership Form: Direct | 7. Nature of Indirect |            |
|------------------------|--------------------------------------|-------------------------------|---|---------------------|-----------|-------------------------|---------------------------|-----------------------|------------|
| (Instr. 3)             | (Mondin Buy, Tear)                   | any                           | Code  | (Instr. 3, 4 and 5) |           |                         | Beneficially              | (D) or                | Beneficial |
|                        |                                      | (Month/Day/Year)              | (Instr. 8)  |                     |           |                         | Owned                     | Indirect (I)          | Ownership  |
|                        |                                      |                               |   |                     |           |                         | Following                 | (Instr. 4)            | (Instr. 4) |
|                        |                                      |                               |   |                     | ( 4 )     |                         | Reported                  |                       |            |
|                        |                                      |                               |   |                     | (A)       |                         | Transaction(s)            |                       |            |
|                        |                                      |                               | Code V  | Amount              | or<br>(D) | Price                   | (Instr. 3 and 4)          |                       |            |
| Common<br>Stock        | 06/16/2016                           |                               | F(1)  | 11,738              | D         | \$<br>0.25              | 90,074                    | D                     |            |

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)

#### Edgar Filing: DELCATH SYSTEMS, INC. - Form 4

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transactic<br>Code<br>(Instr. 8) | 5.  onNumber of Derivative Securities Acquired (A) or Disposed of (D) |                     | ate                | 7. Title and<br>Amount of<br>Underlying<br>Securities<br>(Instr. 3 and 4) |       | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Nu<br>Deriv<br>Secur<br>Bene<br>Owne<br>Follo<br>Repo<br>Trans<br>(Instr |
|---|---|---|---|--|---|---------------------|--------------------|---|-------|---|---|
|   |   |   |   | Code V                                 | (Instr. 3, 4, and 5)  (A) (D)   | Date<br>Exercisable | Expiration<br>Date | or<br>Title Nu<br>of  | umber |   |   |

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Purpura John C/O DELCATH SYSTEMS, INC. 1633 BROADWAY, SUITE 22C NEW YORK, NY 10019

EVP, Regulatory Affairs

## **Signatures**

/s/ Barbra C. Keck, pursuant to a confirming statement executed by John Purpura

06/17/2016

\*\*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) Represents shares withheld and disposed of by the issuer's equity plan administrator to satisfy withholding taxes due in connection with the vesting of shares underlying a previously disclosed equity award.

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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