#### Edgar Filing: PROVECTUS BIOPHARMACEUTICALS, INC. - Form 4

PROVECTUS BIOPHARMACEUTICALS, INC.

Form 4 March 31, 2016

## FORM 4

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

**OMB APPROVAL** 

**OMB** 3235-0287 Number:

January 31, Expires: 2005

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Check this box if no longer subject to Section 16. Form 4 or

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

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \*

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to

Issuer

Koe Jan

(Last)

Symbol **PROVECTUS** 

BIOPHARMACEUTICALS, INC.

(Check all applicable)

[PVCT]

(Middle)

3. Date of Earliest Transaction

\_X\_\_ Director Officer (give title

10% Owner Other (specify

1204 E. CENTRAL ROAD,, SUITE

(Street)

(First)

100

03/29/2016

(Month/Day/Year)

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check

Applicable Line)

Filed(Month/Day/Year) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

ARLINGTON HEIGHTS, IL 60005

(City)	(State)	(Zip) Tabl	e I - Non-D	erivative So	ecuriti	es Acqu	ired, Disposed of	, or Beneficial	ly Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Month/Day/Year)  Execution Date, if any (Month/Day/Year)		4. Securities Acquired or(A) or Disposed of (D) (Instr. 3, 4 and 5)  (A) or			5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code V	Amount	(D)	Price	(Instr. 3 and 4)		
Common Stock	03/29/2016		O <u>(1)</u>	100,000	A	\$ 1.25 (1)	686,300	D	
Common Stock	03/29/2016		O <u>(1)</u>	100,000	A	\$ 1.25 (1)	786,300	D	
Common Stock							150,000	I	By Vekoe Partners LLC

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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 required to respond unless the form displays a currently valid OMB control number.

(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)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. 5. Number of TransactiorDerivative Securities Code Acquired (A) or (Instr. 8) Disposed of (D) (Instr. 3, 4, and 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and An Underlying Sec (Instr. 3 and 4)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	P N S
Common Stock Warrants (right to buy)	\$ 1.25 <u>(1)</u>	03/29/2016		O <u>(1)</u>			100,000	06/28/2012	04/15/2016	Common Stock	
Common Stock Warrants (right to buy)	\$ 0.85	03/29/2016		O <u>(1)</u>		100,000		03/29/2016	06/19/2020	Common Stock	
Common Stock Warrants (right to buy)	\$ 1.25 <u>(1)</u>	03/29/2016		O <u>(1)</u>			100,000	04/20/2011	04/20/2016	Common Stock	
Common Stock Warrants (right to buy)	\$ 0.85	03/29/2016		O <u>(1)</u>		100,000		03/29/2016	06/19/2020	Common Stock	

# **Reporting Owners**

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
Koe Jan 1204 E. CENTRAL ROAD, SUITE 100 ARLINGTON HEIGHTS, IL 60005	X						

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## **Signatures**

/s/ Jan E. Koe 03/31/2016

\*\*Signature of Date
Reporting 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).

On March 29, 2016, the reporting person exercised an aggregate of 200,000 warrants pursuant to the Issuer's warrant exchange offer, at a discounted exercise price of \$0.50 per share, which exercise consisted of: (i) an exercise of 100,000 shares pursuant to a warrant issued on

(1) June 28, 2012, with an original exercise price of \$1.25 per share and (ii) an exercise of 100,000 shares pursuant to a warrant issued on September 20, 2013, with an original exercise price of \$1.25 per share. Under the terms of the warrant exchange offer, holders received, in addition to the common stock acquired upon exercise of their existing warrants, an equal number of new warrants to purchase the same number of shares of the Issuer's common stock at an exercise price of \$0.85 per share that will expire June 19, 2020.

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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