MIRZA ZIAD Form 4 October 02, 2017

## 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

(Print or Type Responses)

1. Name and Address of Reporting Person \*

MIRZA ZIAD

(Last)

(Middle)

(First)

9171 TOWNE CENTRE DRIVE, **STE 440** 

(Street)

2. Issuer Name and Ticker or Trading

Symbol

INNOVUS PHARMACEUTICALS, INC. [INNV]

3. Date of Earliest Transaction

(Month/Day/Year)

Filed(Month/Day/Year)

4. If Amendment, Date Original

10/01/2017

5. Relationship of Reporting Person(s) to

OMB

Number:

Expires:

response...

Estimated average

burden hours per

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

Issuer

(Check all applicable)

Director 10% Owner

Officer (give title Other (specify below)

6. Individual or Joint/Group Filing(Check

Applicable Line)

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

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

SAN DIEGO, CA 92122

(City) (State) 1. Title of 2. Transaction Date 2A. Deemed

Security (Instr. 3)

(Zip)

(Month/Day/Year) Execution Date, if (Month/Day/Year)

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

Code V Amount (D) Price

(Instr. 3, 4 and 5)

(A)

or

5. Amount of Securities Beneficially Owned Following Reported

6. Ownership Form: Direct (I) (Instr. 4)

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

Transaction(s) (Instr. 3 and 4)

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

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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

Conversion

3. Transaction Date 3A. Deemed

5. Number of (Month/Day/Year) Execution Date, if TransactiorDerivative

6. Date Exercisable and **Expiration Date** 

7. Title and Amount of **Underlying Securities** 

### Edgar Filing: MIRZA ZIAD - Form 4

(Instr. 3)	Price of Derivative Security		any (Month/Day/Year)	Code (Instr. 8)		red (A) sposed of	(Month/Day/Year)		(Instr. 3 and 4)	
				Code V	/ (A	) (Σ	D) Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Restricted Stock Units	<u>(1)</u> <u>(2)</u>	10/01/2017(3)		A	32,9	67	10/01/2017	10/01/2027	Common Stock	32,967

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

MIRZA ZIAD 9171 TOWNE CENTRE DRIVE, STE 440 SAN DIEGO, CA 92122

# **Signatures**

/s/ ZIAD MIRZA 10/02/2017

\*\*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).
- (1) Each restricted stock unit represents the right to receive, at settlement, one share of common stock.
- (2) The Reporting Person was granted a Restricted Stock Unit on October 1, 2017 of 32,967 shares, which were fully vested on the date of the grant.
- (3) These restricted stock units were granted pursuant to the Issuer's 2016 Equity Incentive Plan.

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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