#### COCOZZA NANCY G

Form 4 March 28, 2019

## FORM 4

# 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

**SECURITIES** 

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,

1(b).

(Last)

(Print or Type Responses)

1. Name and Address of Reporting Person \* COCOZZA NANCY G

(First)

2. Issuer Name and Ticker or Trading Symbol

VERMILLION, INC. [VRML]

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

C/O VERMILLION, INC., 12117 03/26/2019 BEE CAVES RD, BLDG 3 STE 100

(Middle)

(Street)

4. If Amendment, Date Original

Filed(Month/Day/Year)

**OMB APPROVAL** 

OMB Number:

3235-0287

Expires:

January 31, 2005

Estimated average burden hours per

response...

0.5

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

X\_ Director 10% Owner Officer (give title

Other (specify

6. Individual or Joint/Group Filing(Check

Applicable Line)

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

below)

AUSTIN, TX 78738

(City) (State) (Zip)

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

1.Title of Security (Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year)

Execution Date, if any

Code (Month/Day/Year) (Instr. 8)

3.

Transaction(A) or Disposed of (D) (Instr. 3, 4 and 5)

4. Securities Acquired

5. Amount of Securities Beneficially Owned Following Reported

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

Indirect Beneficial Ownership (Instr. 4)

6. Ownership 7. Nature of

or (D) Price

(A)

Transaction(s) (Instr. 3 and 4)

Common Stock

03/26/2019

Code V Amount 35,417 A (1)

\$0 63,288

D

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)

#### Edgar Filing: COCOZZA NANCY G - Form 4

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. Transactic Code (Instr. 8)	5. Number of orDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount Underlying Securitie (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amour or Number of Shar
EMPLOYEE STOCK OPTION (RIGHT TO BUY)	\$ 1.29	03/26/2019		A	92,942	(2)	03/26/2029	Common Stock	92,94

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
COCOZZA NANCY G C/O VERMILLION, INC. 12117 BEE CAVES RD, BLDG 3 STE 100 AUSTIN, TX 78738	X					
<b>0</b> 1 .						

# **Signatures**

Reporting Person

/s/ Nancy G.
Cocozza

\*\*Signature of 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).
  - The shares of common stock represent restricted stock units with contingent right to receive one share of common stock of Vermillion,
- (1) Inc. for each restricted stock unit. The restricted stock units will vest in four equal installments on April 1, 2019, June 1, 2019, September 1, 2019 and December 1, 2019.
- (2) The employee stock option will vest in four equal installments on April 1, 2019, June 1, 2019, September 1, 2019 and December 1, 2019. 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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