SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL

OMB Number: 3235-0104 Estimated average burden hours per response: 0.5

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person [*] Frieberg Jacob B.	2. Date of Event Requiring Stater (Month/Day/Yea 08/09/2018	nent 🔤	3. Issuer Name and Ticker or Trading Symbol <u>VACCINEX, INC.</u> [VCNX]							
(Last) (First) (Middle) C/O VACCINEX, INC. 1895 MOUNT HOPE AVENUE			(Check a <mark>X</mark>	onship of Reporting Perso II applicable) Director Officer (give title	on(s) to Issuer 10% Owner Other (specify		5. If Amendment, Date of Original Filed (Month/Day/Year) 08/09/2018			
(Street) ROCHESTER NY 14620 (City) (State) (Zip)				below)	below)		Appli	cable Line) Form filed by	/Group Filing (Check y One Reporting Person y More than One erson	
Table I - Non-Derivative Securities Beneficially Owned										
1. Title of Security (Instr. 4)				unt of Securities cially Owned (Instr. 4) Source (D) Source (D) So		ct(D) (4. Nature of Indirect Beneficial Ownership (Instr. 5)			
Common Stock				13,574 ⁽¹⁾	I		By Trust			
Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)										
´` ´ E		2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securit Underlying Derivative Securit		4. Conver or Exer	cise	5. Ownership Form:	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
	Date Exercisable	Expiration Date	Title		Amount or Number of Shares	Price of Derivative Security		Direct (D) or Indirect (I) (Instr. 5)		

Explanation of Responses:

1. This amendment is being filed to include shares inadvertently excluded from the reporting person's initial Form 3.

Remarks:

<u>/s/ Scott E. Royer, Attorney-in-</u> Fact for Jacob B. Frieberg 02/10/2020

** Signature of Reporting Person Date

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

* If the form is filed by more than one reporting person, see Instruction 5 (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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.