SEC Form 4

FORM 4

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

OMB APPROVAL

OMB Number:	3235-0287					
Estimated average burden						
hours per response:	0.5					

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

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

						01 360	500113	0(1) 01		esuner		прапу	ACT OF 19	40					
1. Name and Address of Reporting Person* FRIEDBERG ALBERT				2. 	2. Issuer Name and Ticker or Trading Symbol <u>VACCINEX, INC.</u> [VCNX]										5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director X 10% Owner				
(Last) (First) (Middle) 181 BAY STREET					. Date <mark>3/09/</mark> 2		liest Tr	ransacti	ion (Mo	onth/Da	ay/Yea	1		Officer (give title Other (specify below) below)					
SUITE 2	50				4.	. If Am	endme	ent, Da	ate of O	riginal I	Filed (Month	/Day/Yea	r)	6. Ir	dividual or	Joint/Group	Filing (Check Ap	plicable
(Street) TORONTO A6 M5J 2T3					4. If Amendment, Date of Original Filed (Month/Day/Year)									Line					
(City)	(5	State)	(Zip)																
		Ta	able I - Noi	n-De	rivati	ive S	ecur	ities	Acqu	uired,	Disp	pose	d of, o	r Bene	ficially	v Owned	l		
1. Title of Security (Instr. 3)			2. Transaction Date (Month/Day/Year)			2A. Deemed Execution Date, if any (Month/Day/Year)		Date,	Code (Instr.		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 an			(A) or 3, 4 and !	d 5) Beneficially Owned Following Reported		6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership	
										Code	v	Amo	unt	(A) or (D)	Price	Transa	ed ction(s) 3 and 4)		(Instr. 4)
Common	Stock															43	39,555	D	
Common Stock														3	7,633	I	By Pan- Atlantic Bank & Trust Ltd. ⁽¹⁾		
Common Stock															58	33,333	I	By Global Macro Hedge Fund Ltd. ⁽²⁾	
Common Stock			03	3/09/2020					Р		231 ⁽³⁾		A	\$4.2	2 7,6	01,561	I	By FCMI Parent Co. ⁽⁴⁾	
Common Stock			03	/10/2020					Р		4,()00 ⁽³⁾	A	\$4.2	7,605,561		I	By FCMI Parent Co. ⁽⁴⁾	
			Table II -	Deriv (e.a	vativ	e Se	curit	ies A	Acquii	red, D	Dispo	osed	of, or l	Benefi	cially	Owned			
Derivative Conversion D		3. Transaction Date (Month/Day/Year)	Execution Da		4. Transa	nsaction de (Instr. ((((((5. Number 6. Da of Expir		, ophons, co Date Exercisable a piration Date onth/Day/Year)			nvertible securitie nd 7. Title and Amount Securities Underlyin Derivative Security (Instr. 3 and 4)		unt of lying ity	8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transactior (Instr. 4)	Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature o Indirect Beneficial Ownership (Instr. 4)
					Code	v	(A)	(D)	Date Exerc	isable	Expir Date	ration	Title	Amou Numb Share	per of				
Option (Right to Acquire) ⁽⁵⁾	(5)								(5	5)	(5)	Common Stock	¹ 1,18	0,051		21,475,00	0 I	By FCMI Parent Co. ⁽⁴⁾
Option (Right to Acquire) ⁽⁶⁾	(6)								((6)	(6)	Common Stock	¹ 967	7,983		9,679,833	3 I	By FCMI Financial Corporation ⁽
	nd Address of BERG A	Reporting Person [*]																	
(Last) 181 BAY SUITE 2	STREET	(First)	(Middle	e)															
(Street) TORON	ТО	A6	M5J 2	2T3															

(State)

(Zip)

(City)

FCMI Parent Co.									
(Last)	(First)	(Middle)							
181 BAY STRE	ET								
SUITE 250									
(Street)			-						
TORONTO	A6	M5J 2T3							
(City)	(State)	(Zip)							

Explanation of Responses:

1. Mr. Friedberg is the majority owner of Pan Atlantic Bank & Trust Ltd. and disclaims beneficial ownership of these shares except to the extent of his pecuniary interest therein.

2. Mr. Friedberg possesses voting and dispositive power over the reported securities and disclaims beneficial ownership of these shares except to the extent of his pecuniary interest therein.

3. The purchases reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by FCMI Parent Co. on January 23, 2019.

4. Mr. Friedberg is the majority owner, a director and the president of FCMI Parent Co. and disclaims beneficial ownership of these shares except to the extent of his pecuniary interest therein. 5. Partnership interests in VX3 (DE) LP, or VX3, which are exchangeable into shares of Common Stock on a 1-for-0.05495 basis at the holder's option. On August 13, 2018, FCMI Parent Co. entered into an exchange agreement with the Issuer and the other partners of VX3 that provides each VX3 partner the right to exchange all, but not less than all, of its partnership interests in VX3 for shares of Common Stock. The option has no expiration date.

6. Limited partnership units of Vaccinex Products, LP, which are exchangeable into shares of Common Stock on a 1-for-10 basis at the holder's option.

7. FCMI Financial Corp. is a wholly-owned subsidiary of FCMI Parent Co. Mr. Friedberg disclaims beneficial ownership of these shares except to the extent of his pecuniary interests therein. Remarks:

> /s/ Scott E. Royer, Attorney-in-<u>03/11/2020</u> Fact for Albert D. Friedberg FCMI Parent Co. By: /s/ Dan 03/11/2020 Scheiner, Vice President ** 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 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).

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.