SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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[*]
 	
 Goater Jeff
 	
 (Last) (First) (Middle)
 C/O VACCINEX, INC.
 1895 MOUNT HOPE AVENUE
 (Street)
 ROCHESTER   NY   14620
 (City) (State) (Zip)
	2. Issuer Name **and** Ticker or Trading Symbol
	 VACCINEX, INC. [VCNX]
	
	 3. Date of Earliest Transaction (Month/Day/Year)
	 05/14/2020
	
	 4. If Amendment, Date of Original Filed (Month/Day/Year)
		5. Relationship of Reporting Person(s) to Issuer (Check all applicable)
		 X Director 10% Owner
		     Officer (give title below) 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 Person

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

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price			
Common Stock								300	D	

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. Transaction Code (Instr. 8)		5. Number of Derivative 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 of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Stock Option (Right to Buy)	$14.9							(1)	06/20/2023	Common Stock	6,000		6,000	D	
Stock Option (Right to Buy)	$13.6							(1)	09/15/2027	Common Stock	2,239		2,239	D	
Stock Option (Right to Buy)	$7.78							05/15/2020	(2)	Common Stock	7,718		7,718	D	
Stock Option (Right to Buy)	$3.95	05/14/2020		A		15,679		05/14/2021	(3)	Common Stock	15,679	$0	15,679	D	

Explanation of Responses:

1. Exercisable in full as of the date of this report.

2. This option expires on May 14, 2029 or five years following retirement or cessation of services, whichever occurs first.

3. This option was granted pursuant to the Company's 2018 Omnibus Incentive Plan in a transaction exempt under Rule 16b-3 and expires on May 12, 2030 or five years following retirement or cessation of services, whichever occurs first.

Remarks:

/s/ Scott E. Royer, Attorney-in-Fact for Jeff Goater	05/18/2020
** Signature of Reporting Person	Date