SEC Form 4

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 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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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 * <u>Titterton Lewis H jr</u> | | | | 2. Issuer Name and Ticker or Trading Symbol <u>Anixa Biosciences Inc</u> [ANIX] | | | | | | tionship of Reporting Person(s) to Issuer all applicable) Director 10% Owner | | | | |
|--|---------|-------|--|--|---|---|------------------------------------|---------------|---------|---|---|---|--|--|
| (Last) (First) (Middle) | | | | 3. Date of Earliest Transaction (Month/Day/Year) 09/29/2022 | | | | | | Officer (give title below) | Other (below) | specify | | |
| C/O ANIXA BIOSCIENCES, INC. 3150 ALMADEN EXPRESSWAY, SUITE 250 | | | | 4. If Amendment, Date of Original Filed (Month/Day/Year) | | | | | | 6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person | | | | |
| (Street) | | | | | | | | | | Form filed by More | than One Reportin | ng Person | | |
| SAN JOSE, | СА | 95118 | | | | | | | | | | | | |
| (City) | (State) | (Zip) | | | | | | | | | | | | |
| Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned | | | | | | | | | | | | | | |
| Date | | | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | | 4. Securities Ad Disposed Of (D | | | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) | 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 | (Instr. 3 and 4) | | (1150.4) | | |
| Common Stock 09/2 | | | 09/29/2022 | | М | | 40,000 | A | \$2.575 | 774,070 | D | | | |

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| (0.3., pare, care, care, concerned comments) | | | | | | | | | | | | | | | |
|---|---|--|---|---|---|--|--------|--|--------------------|--|-------------------------------------|---|--|--|--|
| 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 | 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 | | Transaction(s) (Instr. 4) | | |
| Employee Stock Option ⁽¹⁾ | \$2.575 | 09/29/2022 | | М | | | 40,000 | 02/15/2013 | 02/15/2023 | Common Stock | 40,000 | \$0.00 | 0 | D | |

Explanation of Responses:

1. Right-To-Buy, pursuant to a stock option grant dated February 15, 2013.

/s/ Lewis H. Titterton, Jr.

** Signature of Reporting Person

09/30/2022 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.