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 Anixa Biosciences Inc [ANIX]									tionship of R all applicab Director		Person	(s) to Issuer 10% Ov	wher
(Last)	(First)	· · · · ·	Viddle)		3. Date of Earliest Transaction (Month/Day/Year) 01/03/2023									Officer (give title below)			Other (specify below)	
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) SAN JOSE, CA		9	5118											Form file	d by More	than C	one Reportin	g Person
(City)	(State	e) (2	Zip)															
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned																		
Date				Date	te onth/Day/Year)		2A. Deemed Execution Date, if any (Month/Day/Year)		Transaction Dispection Code (Instr.		ities Acquire d Of (D) (Ins			5. Amount Securities Beneficially Following	y Owned Reported	Form	vnership : Direct (D) direct (I) . 4)	7. Nature of Indirect Beneficial Ownership
								Code V		Amount	(A) or (D) Price		Price	Transaction(s) (Instr. 3 and 4)				(Instr. 4)
	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)	Code (I	Transaction Code (Instr.		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)			9. Number o derivative Securities Beneficially Owned Following Reported Transaction	e s Illy g	Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisabl		Expiration Date	Title		Amount or Number of Shares		(Instr. 4)			
Employee Stock Option (Right to Buy) ⁽¹⁾	\$4.19	01/03/2023		A		25,000		(2)	0	01/03/2033	Commo Stock		25,000	\$0	25,00	0	D	

Explanation of Responses:

1. Right-To-Buy, granted under the Anixa Biosciences, Inc. 2018 Share Incentive Plan.

2. The options vest and become exercisable in twelve (12) equal monthly installments beginning January 31, 2023.

<u>/s/ Lewis H. Titterton, Jr.</u> ** Signature of Reporting Person 01/04/2023 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.