SEC Form 4

Employee Stock

Option (Right to

Explanation of Responses:

Buy)⁽¹⁾

\$4.19

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

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 [*] Catelani Michael					2. Issuer Name and Ticker or Trading Symbol Anixa Biosciences Inc [ANIX]								5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner					
(Last)	(First) (Middle) IXA BIOSCIENCES, INC.				3. Date of Earliest Transaction (Month/Day/Year) 01/03/2023							x	Officer (g below)		Other (specify below)			
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 95118													Form filed by More than One Reporting Person					
(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficia																		
1. Title of Security (Instr. 3)						2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr.		4. Secur	Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 au			5. Amount Securities Beneficiall Following	5. Amount of Securities Beneficially Owned Following Reported		nership Direct (D) irect (I) 4)	7. Nature of Indirect Beneficial Ownership	
							Code	v	Amount	Amount (A) ((D)		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. 3. Transaction Conversion Date Conversion Price of Derivative Security Science Conversion Date Conversion (Month/Day/Year) GA. Deemed Execution Date (Month/Day/Year) (Month/Day/Year)		Code (Insaction Derivative		6. Date Exercisable and Expiration Date (Month/Day/Year)			Secu			8. Price of Derivative Security (Instr. 5) Beneficia Owned Following Reported		e s illy g	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)		

Date

Exercisable

(2)

(D)

350,000

Expiration

01/03/2033

Date

Title

Common

Stock

2. The options vest and become exercisable in thirty-six (36) equal monthly installments beginning January 31, 2023.

01/03/2023

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

/s/ Michael J. Catelani

** Signature of Reporting Person

Amount or

Number of

350,000

\$<mark>0</mark>

Shares

01/04/2023

350,000

D

Date

Reported Transaction(s)

(Instr. 4)

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).

Code v (A)

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.

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