## Edgar Filing: Capnia, Inc. - Form 4

Capnia, Inc Form 4									
June 10, 20	16								
FORM	ΠД						PPROVAL		
FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549							3235-0287		
Check ti if no lor subject Section Form 4 Form 5 obligation may con	nger to 16. or Filed pur <sup>Dns</sup> Section 17(	AENT OF CH. rsuant to Sectio (a) of the Public 30(b) of the	SECURIT	January 31, 2005 Estimated average burden hours per response 0.5					
<i>See</i> Inst 1(b).	ruction	50(11) 01 110		Sompany rice of 1	210				
(Print or Type		D *			5.0.1.5		( ) .		
1. Name and Address of Reporting Person <u>*</u> MARIO ERNEST			suer Name <b>and</b> T ol ia, Inc. [CAP]	C C	5. Relationship of Reporting Person(s) to Issuer				
(Last)	(First) (	Middle) 3. Dat	e of Earliest Tran	saction	(Che	ck all applicable	e)		
			h/Day/Year) 8/2016		X_ DirectorX_ 10% Owner Officer (give title Other (specify below) below)				
			mendment, Date Month/Day/Year)	Original	<ul><li>6. Individual or Joint/Group Filing(Check</li><li>Applicable Line)</li><li>_X_ Form filed by One Reporting Person</li></ul>				
REDWOO	D CITY, CA 940	65			Form filed by I Person	More than One R	eporting		
(City)	(State)	(Zip) T	able I - Non-Dei	rivative Securities A	cquired, Disposed o	f, or Beneficia	lly Owned		
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, i any (Month/Day/Year	f TransactionA Code D	Securities cquired (A) or isposed of (D) nstr. 3, 4 and 5) (A) or .mount (D) Price	Securities Elementicially Owned	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
Reminder: Re	port on a separate line	e for each class of s	ecurities benefici	ally owned directly o	or indirectly				
Reminder: Report on a separate line for each class of securities bene				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 control number.					
	<b>T</b> 1			1. D'					

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

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5. Number of	6. Date Exercisable and	7. Title and Amount of
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transactio	orDerivative	Expiration Date	Underlying Securities
Security	or Exercise		any	Code	Securities	(Month/Day/Year)	(Instr. 3 and 4)
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Acquired (A)		

	Derivative Security				or Dispose (D) (Instr. 3, 4 and 5)					
			Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee stock option (right to buy)	\$ 1.2	06/08/2016	A		27,083		<u>(1)</u>	06/08/2026	Common Stock	27,083

## **Reporting Owners**

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
MARIO ERNEST 1235 RADIO ROAD, SUITE 110 REDWOOD CITY, CA 94065	Х	Х					
Signatures							
/s/ David O'Toole, attorney in fact	06/10/2016						

\*\*Signature of Reporting Person

## **Explanation of Responses:**

- \* 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).

Date

(1) The vesting schedule for the option is as follows: 100% of the shares subject to the option shall vest on the earlier of the 12 month anniversary of the date of grant or the day before the next annual stockholder meeting.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.