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

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 [*] Branning Todd P.					2. Issuer Name and Ticker or Trading Symbol <u>NeuBase Therapeutics, Inc.</u> [NBSE]								5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner					
(Last) (First) (Middle)					3. Date of Earliest Transaction (Month/Day/Year) 11/03/2022							x	Officer (g below)	ive title hief Fina	ncial	Other (s below)		
C/O 350 TECHNOLOGY DRIVE, FOURTH FLOOR					A 15 American descent. Data as 6 Octoberal Fills of (Marshir Dav Marsh)							C. In div						
(Street) PITTSBURGH PA 15219				4.1	4. If Amendment, Date of Original Filed (Month/Day/Year)							X	6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person					
(City) (State) (Zip)																		
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned																		
Date					saction /Day/Year) 2A. Deemed Execution Date, if any (Month/Day/Year)		Transaction Dispose Code (Instr.				cquired (A) (Instr. 3,				Form	: Direct (D) lirect (I)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
							Code	v	Amount		(A) or (D)	Price	(Instr. 3 and 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.	2. Conversion or Exercise	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date if any	4. Transac Code (Ir		Derivative	6. Date Exercisable and Expiration Date Securities Underly (Month/Day/Year) Derivative Securit			erlying	8. Price of Derivative Security Securities		e	10. Ownership Form:	11. Nature of Indirect Beneficial			

Security (Instr. 3)	or Exercise Price of Derivative Security	(Month/Day/Year)	y/Year) if any Code (Instr. Securitie (Month/Day/Year) 8) Code (Instr. Securitie B) Code (Instr. Acquire Dispose (Instr. 3, 5)			(A) or l of (D)	(Month/Day/)		Derivative Sec 3 and 4)		(Instr. 5)	Following Reported	Direct (D) or Indirect (I) (Instr. 4)	Beneficial Ownership (Instr. 4)	
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		Transaction(s) (Instr. 4)		
Stock option (right to buy)	\$0.28	11/03/2022		Α		200,000		(1)	11/03/2032	Common Stock	200,000	\$ <mark>0</mark>	200,000	D	

Explanation of Responses:

1. 50% of the total shares shall vest on March 1, 2023, and the remaining shares shall vest on November 1, 2023, provided that vesting shall only occur on a scheduled vesting date if employment has not terminated prior to such vesting date, inclusive. Shares are subject to accelerated vesting in the event of a change of control of the Issuer, provided that employment has not terminated prior to such vesting date, inclusive.

<u>/s/ Todd P. Branning</u> ** Signature of Reporting Person <u>11/04/2022</u> 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.

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