SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

\Box	Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).
	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

OMB APPROVAL OMB Number: 3235-0287 Estimated average burden

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Estimated average burden	

1. Name and Address of Reporting Person* ROSENMAN HERM			2. Issuer Name and Ticker or Trading Symbol <u>VIVUS INC</u> [VVUS]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
				X	Director	10% Owner			
(Last) C/O VIVUS, IN	(First) C.	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 05/30/2016		Officer (give title below)	Other (specify below)			
351 EAST EVELYN AVENUE									
,			4. If Amendment, Date of Original Filed (Month/Day/Year)	idual or Joint/Group Filing	/Group Filing (Check Applicable				
(Street) MOUNTAIN		94041		X	Form filed by One Rep	orting Person			
VIEW	CA				Form filed by More that Person	n One Reporting			
(City)	(State)	(Zip)							

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	Transaction Code (Instr.					5. Amount of Securities Beneficially Owned Following Reported	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	Transaction(s) (Instr. 3 and 4)		(1150.4)	
Common Stock	05/30/2016		М		21,875	A	(1)	26,875	D		
Common Stock	05/30/2016		D ⁽²⁾		7,706	D	\$1.23	19,169	D		

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)	4. Transa Code (8)		of		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		Derivative Security curity (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	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				
Restricted Stock Units	(1)	05/30/2016		М			21,875	(3)	(3)	Common Stock	21,875	\$0	15,625	D	

Explanation of Responses:

1. Restricted stock units converted into VIVUS, Inc. common stock on a 1-for-1 basis.

2. The reporting person did not sell or otherwise dispose of any of the shares reported on this Form 4 for any reason other than to cover extimated tax liability.

3. The restricted stock units vest according to the following schedule: 7/12ths of the total restricted stock units originally granted vested on May 30, 2016, and an additional 1/12th of the total restricted stock units originally granted vest on the last day of each calendar month thereafter, subject to the individual continuing to be a Service Provider (as defined in the 2010 Equity Incentive Plan) on the relevant vesting dates.

Remarks:

<u>/s/ Julie Hollenback, Attorney-</u> in-Fact <u>06/01/2016</u>

** Signature of Reporting Person 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.