SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

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 OMP Number 2225 0207

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| hours per response: | 0.5 |

| 1. Name and Addres Slebir John L | ss of Reporting Perso | n* | 2. Issuer Name and Ticker or Trading Symbol <u>VIVUS INC</u> [VVUS] | | all applicable) | | |
|-------------------------------------|-----------------------|----------|--|--|--------------------------------|------------------|--|
| | | | | | | | |
| (Last) | (First) | (Middle) | 3. Date of Earliest Transaction (Month/Day/Year) | ear) (Check all applicable) Director 10% Owner X Officer (give title below) SVP, Business Development & GC | | | |
| C/O VIVUS, IN | | (Midule) | 01/01/2018 | | SVP, Business Develop | ment & GC | |
| 900 E. HAMILT | ON AVE., SUITE | 550 | | | | | |
| 900 E. HAMILTON AVE., SUITE 550 | | | 4. If Amendment, Date of Original Filed (Month/Day/Year) | | vidual or Joint/Group Filing (| Check Applicable | |
| (Street) | | | | · · | Form filed by One Report | ing Person | |
| CAMPBELL | CA | 95008 | | | | | |
| (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) | 3. Transa Code (8) | | 4. Securities Disposed Of 5) | | | Securities Beneficially | 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 | | Price | Transaction(s) (Instr. 3 and 4) | | (115(114) |
| Common Stock | 01/01/2018 | | D ⁽¹⁾ | | 710 | D | \$0.5 | 135,183 | 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 Deriv Secur Acqu (A) or Dispo of (D) | erivative (Month/Day/Year) ecurities cquired a) or isposed f (D) nstr. 3, 4 | | 7. Title Amour Securi Underl Deriva Securi and 4) | nt of ties ying tive ty (Instr. 3 | 8. Price of Derivative Security (Instr. 5) | 9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) | |
|---|---|--|---|------------------------------|---|---|---|---------------------|---|---|---|--|--|--|
| | | | | Code | v | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | | |

Explanation of Responses:

1. The reporting person did not sell or otherwise dispose of any of the shares reported on this Form 4 for any reason other than by way of forfeiture to VIVUS, Inc. in order to cover estimated tax liability. **Remarks:**

/s/ Julie Hollenback, Attorney-01/03/2018 in-Fact

** 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.