FORM 4

## **UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

|       | OMB APP           | 'ROVAL   |
|-------|-------------------|----------|
| RSHIP | OMB Number:       | 3235-028 |
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# 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 OWNER Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934

|  | (-,  |   |         |                                   | or Sect   | tion 30(h) of the   | Investme                          | nt Con | npany Act   | of 19   | 40            |   |  | -  |  |   |             |  |
|--|--|---|---------|-----------------------------------|---|---|-----------------------------------|--------|---|---|---------------|---|--|--|--|---|-------------|--|
| 1. Name and Address of Reporting Person* Plutzky Jorge MD    |  |   |         |                                   | 2. Issuer Name <b>and</b> Ticker or Trading Symbol VIVUS INC [ VVUS ] |   |                                   |        |   |   |               |   | eck all applic   | tionship of Reporting Per<br>all applicable)<br>Director |  |   | uer<br>vner |  |
|  | /O VIVUS, INC.   |   |         |                                   |   | 3. Date of Earliest Transaction (Month/Day/Year) 10/26/2018 |                                   |        |   |   |               |   |  | Officer (give title below)                               |  | Other (specify below)   |             |  |
| 900 E. HAMILTON AVE., SUITE 550  (Street)  CAMPBELL CA 95008 |  |   |         |                                   | 4. If Amendment, Date of Original Filed (Month/Day/Year)              |   |                                   |        |   |   |               |   | Individual or Joint/Group Filing (Check Applicable Line)     X Form filed by One Reporting Person     Form filed by More than One Reporting Person |  |  |   |             |  |
| (City)   | (S   |   | (Zip)   | Danis                             | -4i O-  |   |                                   | Diam   |   |   | . D           | e i a i a II  | O  |  |  |   |             |  |
|  |  |   |         |                                   | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Yea             | 3.<br>Trans<br>Code   | 3.<br>Transaction<br>Code (Instr. |        | 4. Securities Acquired (A<br>Disposed Of (D) (Instr. 3, |   | (A) or        | 5. Amou<br>Securitie<br>Beneficia<br>Owned F        | 5. Amount of<br>Securities<br>Beneficially<br>Owned Following<br>Reported  |  | Direct<br>Indirect<br>str. 4)                          | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |             |  |
|  |  |   |         |                                   |   |   | Code                              | V      | Amount  |   | (A) or<br>(D) | Price   | (Instr. 3  | Transaction(s)<br>(Instr. 3 and 4)                       |  |   | , , ,       |  |
| Common Stock   |  |   |         |                                   |   |   |                                   |        |   |   |               |   | 8,1  | 16(1)  |  | D   |             |  |
|  |  | - |         |                                   |   | curities Acqu<br>ls, warrants                               |                                   |        |   |   |               |   | Owned  |  |  |   |             |  |
| 1. Title of<br>Derivative<br>Security<br>(Instr. 3)          | erivative Conversion Date Execution Date, curity or Exercise (Month/Day/Year) if any |   | Date, T | l.<br>Transaction<br>Code (Instr. |   | Expiration Date<br>(Month/Day/Year)                         |                                   |        |   | tle and A<br>ecurities<br>erlying<br>vative Serr. 3 and | ecurity       | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | Derivative derivative Security Securities  |  | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect | Beneficial<br>Ownership   |             |  |

| Derivative<br>Security<br>(Instr. 3)                      | Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | Date (Month/Day/Year) | Execution Date,<br>if any<br>(Month/Day/Year) | Transaction<br>Code (Instr.<br>8) |   | of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) |     | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | of Securities Underlying Derivative Security (Instr. 3 and 4) |  | Derivative<br>Security<br>(Instr. 5) | derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4) | Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | Beneficial<br>Ownership<br>(Instr. 4) |
|---|---|-----------------------|---|-----------------------------------|---|--|-----|--|--------------------|---|--|--------------------------------------|---|---|---------------------------------------|
|   |   |                       |   | Code                              | v | (A)  | (D) | Date<br>Exercisable  | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares |                                      |   |   |                                       |
| Non-<br>Qualified<br>Stock<br>Option<br>(Right to<br>Buy) | \$3.53  | 10/26/2018            |   | A                                 |   | 15,000   |     | (2)  | (3)                | Common<br>Stock   | 15,000                                 | \$0                                  | 15,000  | D   |                                       |

### **Explanation of Responses:**

- 1. On September 10, 2018, VIVUS, Inc. effected a 1-for-10 reverse stock split (the "Reverse Split"). Accordingly, 81,159 shares of common stock on a pre-Reverse Split basis were adjusted to 8,116 shares following the Reverse Split (with fractional shares rounded up to the next whole number).
- 2. One twelfth (1/12th) of the total number of shares underlying the option vest and become exercisable on the 26th of each month following October 26, 2018, subject to the reporting person continuing to be a Service Provider (as defined in the Issuer's 2018 Equity Incentive Plan) on the relevant vesting dates.
- 3. The option expires on the earlier of (a) October 26, 2025 and (b) the six (6) month anniversary of the date the reporting person ceases to be a Service Provider.

### Remarks:

/s/ Julie Hollenback, Attorneyin-Fact

10/29/2018

\*\* Signature of Reporting Person

Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

- $^{\star}$  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.