

SECURITIES & EXCHANGE COMMISSION EDGAR FILING

PROVECTUS BIOPHARMACEUTICALS, INC.

Form: 4

Date Filed: 2016-03-31

Corporate Issuer CIK: 315545

© Copyright 2016, Issuer Direct Corporation. All Right Reserved. Distribution of this document is strictly prohibited, subject to the terms of use.

FORM 4

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

| | OMB APPROVA | ۱L |
|---|---------------------------|----------|
| Ì | OMB Number: | 3235-028 |
| | Cationatad avarage burden | haura |

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 OF SECURITIES

0.5 per response..

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

| (Print or Typ | e Response | es) | | | | | | | | | | | | | | | | |
|--|---|----------------------|--|---------------------|--|--|--------------|--|---|-----------------------------------|--|--------------------|---|--|--|--|-------------------|----------------------|
| Name and Address of Reporting Person [*] WACHTER ERIC PHD | | | | | 2. Issuer Name and Ticker or Trading Symbol PROVECTUS BIOPHARMACEUTICALS, INC. [PVCT] | | | | | | | | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | | | |
| (Last) (First) (Middle) 7327 OAK RIDGE HWY., SUITE A | | | | | | Date of Earliest Transaction (Month/Day/Year) 03/29/2016 | | | | | | | | | Chief T | echnology Offic | cer | |
| KNOXVIL | LE, TN 3 | (Street) | | | 4. If Amendment, Date Original FiledMonth/Day/Year) | | | | | | | | | d by One | Reporting Per | Filing(Check Applic son porting Person | cable Line) | |
| (City | y) | (State) | (Zip) | | | | Table | e I - N | lon-Dei | rivative | Securitie | s Acqu | ired, Disp | osed o | of, or Bene | ficially Owned | | |
| 1.Title of Se (Instr. 3) | I.Title of Security Instr. 3) | | 2. Trans Date (Month/ | action Day/Year) | Execution Date, if | | (Instr. 8 | | or Disposed of (D) (Instr. 3, 4 and 5) | | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s (Instr. 3 and 4) | | | | 6. Ownership Form: Direct (D) or Indirect | 7. Nature of Indirect Beneficial Ownership (Instr. 4) | | |
| | | | | | | | Cod | le | V | Amount | (A) or nount (D) | | | | | | (I) (Instr. 4) | |
| Common | Stock | | 03/29/ | 2016 | | | O <u>(1</u> | <u>I)</u> | 2 | 00,947 | ' A | \$ 1 (1) | 5,714,18 | 33 | | | D | |
| Common | ommon Stock | | 03/29/ | 2016 | 5 (| | O <u>(1</u> | <u>I)</u> | 1 | 06,000 | Α | \$ 1 <u>(1)</u> | 930,248 | | | | I | By 401(k) Plan |
| Common | Stock | | | | | | | | | | | | 4,867 | | | | I | By Trust |
| Reminder: F | Report on a | separate line for ea | ch class of secur | ities bene | ficial | ly owned dire | ectly or ind | lirectly | у. | | | | | | | | | |
| | | | | | | ivative Secu | | fo O Juired | orm are DMB co d, Dispe | e not rec ntrol nu osed of, | uired to mber. or Bene | respon | d unless t | | | tained in this a currently va | | 1474 (9-02) |
| 1. Title of Derivative Security (Instr. 3) | Conversion Date Ex or Exercise (Month/Day/Year) an Price of Derivative | | 3A. Deemed Execution Date, any (Month/Day/Yea | Code | Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | Ехр | Date Exemination Internation Internation | | and | Under | | | f 9. Number of Derivative Securities Beneficially Owned Following | 10. Ownership Form of Derivative Security: Direct (D) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) | | |
| | Security | | | Code | | | (D) | | Date Exercisable | | Expiration Date | | Amoun Title Numbe Shares | | | Reported Transaction(s) (Instr. 4) | or Indirect | |
| Common Stock Warrants (right to buy) | \$ 1 ⁽¹⁾ | 03/29/2016 | | O ⁽¹⁾ | | | 306,947 | 11/ | /16/20 | 12 11/ | 16/2017 | Com Sto | 1300 | 6,947 | <u>(1)</u> | 359,719 | D | |
| Common Stock Warrants (right to buy) | \$ 0.85 | 03/29/2016 | | O ⁽¹⁾ | | 306,947 | | 03/ | /29/20 | 16 06/ | 19/2020 | Com Sto | 1300 | 6,947 | <u>(1)</u> | 306,947 | D | |
| Dana | ina O | | | | | | | | | | | | | | | | | |

Reporting Owners

| | Reporting Owner Name / Address | | | Relationships | |
|--|---|---|-----------|--------------------------|-------|
| | | | 10% Owner | Officer | Other |
| | WACHTER ERIC PHD 7327 OAK RIDGE HWY., SUITE A KNOXVILLE, TN 37931 | X | | Chief Technology Officer | |

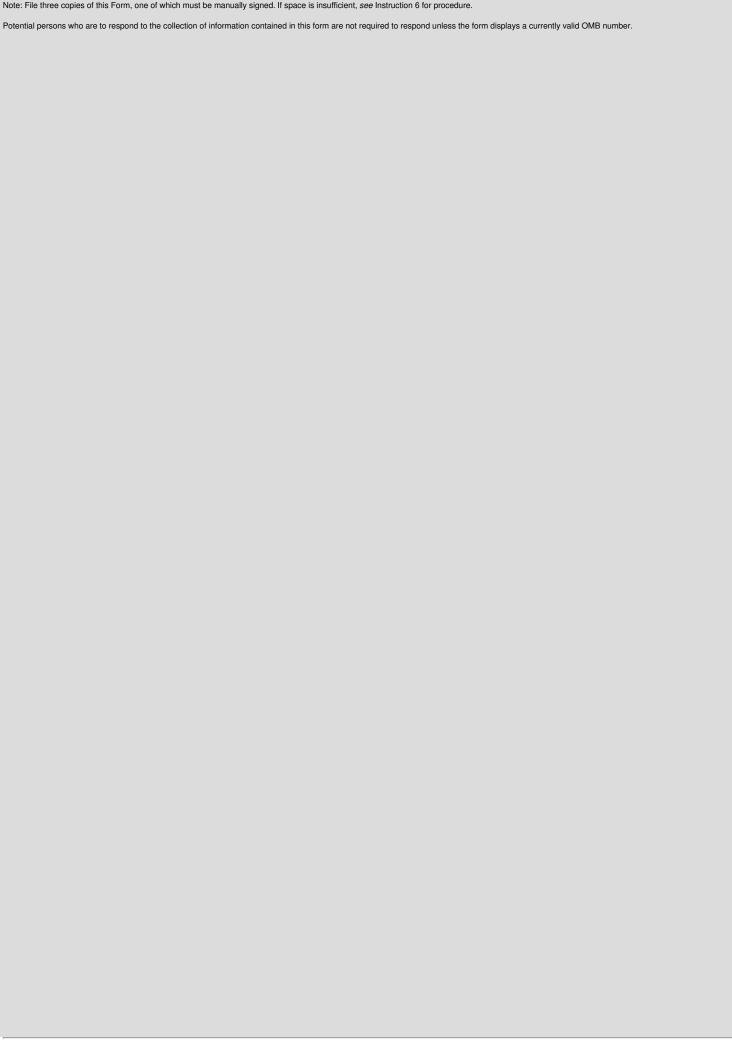
Signatures

| /s/ Eric Wachter, Ph.D. | 03/31/2016 |
|--------------------------------|------------|
| -Signature of Reporting Person | Date |

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).

On March 29, 2016, the reporting person exercised 306,947 warrants pursuant to the Issuer's warrant exchange offer, at a discounted exercise price of \$0.50 per share. Under the terms of the (1) warrant exchange offer, holders received, in addition to the common stock acquired upon exercise of their existing warrants, an equal number of new warrants to purchase the same number of



FORM 4

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

| OMB APPROVA | ۱L |
|--------------------------------------|----------|
| OMB Number: | 3235-028 |
| market and account to the second and | L |

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 OF SECURITIES

stimated average burden hours 0.5 per response...

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

| e Response | s) | | | | | | | | | | | | | | | | | | |
|--|---|--|--|---|--|--|--|--|--|---|---|---|--|--|--|--|---|--|--|
| Name and Address of Reporting Person [*] WACHTER ERIC PHD | | | | | | 2. Issuer Name and Ticker or Trading Symbol PROVECTUS BIOPHARMACEUTICALS, INC. [PVCT] | | | | | | | | | Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | | |
| (Last) (First) (Middle) 7327 OAK RIDGE HWY., SUITE A | | | | | | 3. Date of Earliest Transaction (Month/Day/Year) Chief Technology Officer 03/29/2016 | | | | | | | | | | | | | |
| LE, TN 37 | (Street) | | 4. | 4. If Amendment, Date Original FiledMonth/Day/Year) 6. | | | | | | | | | d by One | Reporting Per | son | able Line) | | | |
| y) | (State) | (Zip) | | | | Table | I - N | lon-Deri | vative S | Securitie | s Acquii | red, Disp | osed o | f, or Bene | ficially Owned | | | | |
| 1.Title of Security (Instr. 3) | | | | Execution Date, if | | if Code (Instr. 8 | ode | | Dispose | ed of (D) | | | | | 6. Ownership Form: Direct (D) or Indirect (I) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) | | | |
| | | | | | | Cod | е | VA | mount | (D) | Price | е | | | | (Instr. 4) | | | |
| Stock | | 03/29/2 | 2016 | | | O <u>(1</u> | 1 | 20 | 0,947 | Δ | \$ 1 (1) | 5,714,18 | 33 | | | D | | | |
| Stock | | 03/29/2 | 2016 | 3 | | O <u>(1</u> | O ⁽¹⁾ | | 6,000 | | | 930,248 | | | | I | By 401(k) Plan | | |
| Stock | | | | 4,867 | | | | | | l | By Trust | | | | | | | | |
| | | 1 | | | | | fo O uired | orm are OMB cor d, Dispo | not req trol nu sed of, | uired to mber. or Benef | respond | d unless t | | | | | 1474 (9-02) | | |
| or Exercise Price of Derivative | Date | 4. Transac Code | ction | 5. Number of 6. Derivative Securities Ex | | | i. Date Exercisable and 7. Titl Expiration Date Unde | | | | ying Securities Derivative 3 and 4) Security (Instr. 5) | | | 10. Ownership Form of Derivative Security: | Beneficial | | | | |
| Security | | | Code | e V (A) | | (D) | | | Expiration To Date | | Title | Amount or Number of Shares | | | | . , | | | |
| 445 | 03/29/2016 | | O ⁽¹⁾ | | | 306,947 | 11/ | 16/201 | 2 11/1 | 6/2017 | ′ | 1300 | 6,947 | <u>(1)</u> | 359,719 | D | | | |
| | 03/29/2016 | | O ⁽¹⁾ | | 306,947 | | 03/ | /29/201 | 6 06/1 | 9/2020 |) | 1300 | 6,947 | <u>(1)</u> | 306,947 | D | | | |
| | at Address of ER ERIC F st) K RIDGE I LLE, TN 3. ty) ecurity Stock Stock Stock Stock Report on a s 2. Conversion or Exercise Price of Derivative Security \$ 1 (1) | Stock St | and Address of Reporting Person— ER ERIC PHD st) (First) (Middle) K RIDGE HWY., SUITE A (Street) LLE, TN 37931 ty) (State) (Zip) accurity 2. Transa Date (Month/D Stock 03/29/2 Stock 03/29/2 Stock 3. Transaction For each class of security 2. Transaction Conversion Date (Month/Day/Year) or Exercise Price of Derivative Security \$1 (1) 03/29/2016 | and Address of Reporting Person— ER ERIC PHD st) (First) (Middle) K RIDGE HWY., SUITE A (Street) LLE, TN 37931 lty) (State) 2. Transaction Date (Month/Day/Year) Stock Stock 3. Transaction Conversion or Exercise Price of Derivative Security 2. Transaction Date (Month/Day/Year) 3. Transaction Date Execution Date, if Ore Exercise Price of Derivative Security \$1 (1) 03/29/2016 2. Code \$1 (1) 03/29/2016 Code \$1 (1) 03/29/2016 Code \$1 (1) 03/29/2016 Code | and Address of Reporting Person— ER ERIC PHD Stock Stoc | and Address of Reporting Person—RER ERIC PHD Code Procession Pr | and Address of Reporting Person— ER ERIC PHD 2. Issuer Name and Ticker of PROVECTUS BIOPHAF (PVCT) 3. Date of Earliest Transaction 03/29/2016 4. If Amendment, Date Original Oxider (Instr. 8) 4. If Amendment, Date Original Oxider (Instr. 8) 4. If Amendment, Date Oxider (Instr. 8) 5. Table II - Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) 7. Table II - Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) 8. Table II - Oxider (Instr. 8) 8. Table II - Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) 8. Table II - Oxider (Instr. 8) 8. Table II - Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) 8. Table II - Oxider (Instr. 8) 9. Table II - Oxider (Instr. 8) 1. Table II - Oxider (Instr. 8) 2. Table II - Oxider (Instr. 8) 3. Transaction (Instr. 8) 4. Table II - Oxider (Instr. 8) 5. Number of Code (Instr. 8) 6. Oxider (Instr. 8) 8. Table II - Oxider (Instr. 8) 9. Table II - Oxider (Instr. 8) 1. Table II - Oxider (Instr. 8) 2. Table II - Oxider (Instr. 8) 3. Transaction (Instr. 8) 4. Table II - Oxider (Instr. 8) 5. Number of Instructive Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) 8. Table II - Oxider (Instr. 8) 9. Table II - Oxider (Instr. 8) 1. Table II - Oxider (Instr. 8) 1. Table II - Oxider (Instr. 8) 1. Table II - Oxider (Instr. 8) 2. Table II - Oxider (Instr. 8) 3. Transaction (Instr. 8) 3. Transaction (Instr. 8) 4. Table II - Oxider (Instr. 8) 5. Number of Instructive Securities Acquired (Instr. 8) 6. Table II - Oxider (Instr. 8) 6. Table II - Oxider (Instr. 8) 7. Table II - Oxider (Instr. 8) 8. Table II - Oxider (Instr. 8) 9. T | 2. Issuer Name and Ticker or Tre PROVECTUS BIOPHARMA [PVCT] st) (First) (Middle) (Street) 3. Date of Earliest Transaction (Mc O3/29/2016 4. If Amendment, Date Original File (Street) 5. Transaction Date (Month/Day/Year) (Month/Day/Year) 6. Code (Instr. 8) 6. Code (Instr | 2. Issuer Name and Ticker or Trading Syrt PROVECTUS BIOPHARMACEUT [PVCT] at) (First) (Middle) (Middle | 2. Issuer Name and Ticker or Trading Symbol PROVECTUS BIOPHARMACEUTICALS [PVCT] | 2. Issuer Name and Ticker or Trading Symbol PROVECTUS BIOPHARMACEUTICALS, INC. [PVCT] | 2. Issuer Name and Ticker or Trading Symbol PROVECTUS BIOPHARMACEUTICALS, INC. PVCT PVCT PVCT | Address of Reporting Person— CRERIC PHD CREATER PHD CR | Address of Reporting Person- CR ERIC PHD CRITICAL SINC. CRITICAL S | 2. Issuer Name and Ticker or Trading Symbol PROVECTUS BIOPHARMACEUTICALS, INC. (Cher. Journal of Privation (Masse) (PVCT) SIOPHARMACEUTICALS, INC. (PVCT) SIOP | 2. Issuer Name and Ticker or Traising Symbol S. Relationship of Reporting Person(s) in In PROVECTUS BIOPHARMACEUTICALS, INC. (PVCT) PROVECTUS BIOPHARMACEUTICALS, INC. (PVCT) Check all aplicable Check all applicable Ch | 2. Issuer Name and Ticker or Trading Symbol PROVECTUS BIOPHARMACEUTICALS, INC. PROVECTUS BIOPHARMACEUTICALS, INC. PROVECTUS BIOPHARMACEUTICALS, INC. Subserve | | |

Reporting Owners

| | Reporting Owner Name / Address | | | Relationships | |
|--|---|---|-----------|--------------------------|-------|
| | | | 10% Owner | Officer | Other |
| | WACHTER ERIC PHD 7327 OAK RIDGE HWY., SUITE A KNOXVILLE, TN 37931 | X | | Chief Technology Officer | |

Signatures

| /s/ Eric Wachter, Ph.D. | 03/31/2016 |
|--------------------------------|------------|
| -Signature of Reporting Person | Date |

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).

On March 29, 2016, the reporting person exercised 306,947 warrants pursuant to the Issuer's warrant exchange offer, at a discounted exercise price of \$0.50 per share. Under the terms of the (1) warrant exchange offer, holders received, in addition to the common stock acquired upon exercise of their existing warrants, an equal number of new warrants to purchase the same number of

| 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. |
|---|
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |
| |