SEC Form 4

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FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

OMB Number:	3235-0287
Estimated average bu	urden
hours per response:	0.5

U obligations may continue. See Instruction 1(b). Filed p				nt to Section 16(a) c	of the Securitie	hours per response:		0.5			
			or Sec	tion 30(h) of the Inv	estment Com	pany Act of 1940					
1. Name and Addres Mills Kennet	1 0	Person*		er Name and Ticke ENXBIO Inc	•	•	5. Relationship of Reporting Person(s) to Issu (Check all applicable)				
<u>Ivinis Kenneu</u>	<u>II I.</u>					-	X	Director	10% (Owner	
(Last)	(First)	(Middle)	3. Date	e of Earliest Transad	ction (Month/E	Day/Year)	X	Officer (give tit below)	le Other below	(specify /)	
C/O REGENZBIO INC.				/2021				Presid	ent and CEO		
9804 MEDICAL	CENTER D	ORIVE									
(Street)			4. If Ar	nendment, Date of	Original Filed	(Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)				
ROCKVILLE	MD	20850					X	Form filed by	One Reporting Per	son	
								Form filed by I Person	More than One Re	oorting	
(City)	(State)	(Zip)									
		Table I - Nor	n-Derivative S	ecurities Acqu	uired, Disp	oosed of, or Benefi	cially	Owned			
1. Title of Security	(Instr. 3)		2. Transaction Date	Action 2A. Deemed 3. 4. Securities Acquired (A) Execution Date, Transaction Disposed Of (D) (Instr. 3,				5. Amount of Securities	6. Ownership Form: Direct	7. Nature of Indirect	

1. Title of Security (instr. 3)	Date (Month/Day/Year)	Execution Date, if any (Month/Day/Year)	3. Transa Code (8)		Disposed Of (D) (Instr. 3, 4 and 5)		Securities Beneficially Owned Following Reported	Form: Direct (D) or Indirect (I) (Instr. 4)	of Indirect Beneficial Ownership (Instr. 4)	
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150.4)
Common Stock	11/08/2021		M ⁽¹⁾		1,500	Α	\$3.76	282,484	D	
Common Stock	11/08/2021		S ⁽¹⁾		1,500	D	\$40	280,984	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 Deri Sec Acq (A) (Disp of (I	osed)) tr. 3, 4	6. Date Exercisable and Expiration Date (Month/Day/Year)		ation Date Amount of		8. Price of Derivative Security (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				
Employee Stock Option (Right to Buy)	\$3.76	11/08/2021		M ⁽¹⁾			1,500	(2)	05/18/2025	Common Stock	1,500	\$0.00	229,854	D	

Explanation of Responses:

1. This transaction was effected pursuant to a Rule 10b5-1 trading plan.

2. The previously granted option, representing a right to purchase a total of 275,000 shares, became exercisable as follows: 25% of the shares subject to this option vested on May 19, 2016, and the balance vested in equal monthly installments over the 36 months thereafter.

Remarks:

/s/ Patrick J. Christmas as attorney-in-fact

11/10/2021

** 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.