Edgar Filing: Capnia, Inc. - Form 4

Capnia, Inc. Form 4											
May 19, 2015											
FORM	4		GEGU						PPROVAL		
	UNITED	STATES		RITIES Af Ishington, l			COMMISSIO	N OMB Number:	3235-0287		
Check this b if no longer subject to Section 16. Form 4 or Form 5	STATEM		NGES IN B SECURI	Estimated a burden hou response	irs per						
Form 5 obligations may continue. See Instruction 1(b). Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940											
(Print or Type Res	ponses)										
1. Name and Address of Reporting Person <u>*</u> ENGELSEN STEINAR J			2. Issuer Name and Ticker or Trading Symbol Capnia, Inc. [CAPN]			5. Relationship of Reporting Person(s) to Issuer					
(Last)	(First) (1	Middle)	3. Date of Earliest Transaction				(Check all applicable)				
	· · · ·	(Initial)(Nitial)S. Date of Earliest(Month/Day/Year)HIN DRIVE, SUITE05/15/2015			XDirector Officer (give below)			title 10% Owner Other (specify below)			
			4. If Amendment, Date Original Filed(Month/Day/Year)			 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting 					
							Person				
(City)	(State)	(Zip)	Tab	ole I - Non-De	erivative	Securities A	cquired, Disposed	of, or Beneficia	lly Owned		
	Transaction Date lonth/Day/Year)	2A. Deemo Execution any (Month/Da	Date, if	TransactionA Code I (Instr. 8) (Disposed Instr. 3, 4	(A) or of (D) 4 and 5) (A) or	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
				Code V A	Amount	(D) Price	· · · ·				
Reminder: Report	on a separate line	for each cla	ass of sec	urities benefic	-	-	-				
					Persons who respond to the collection of SEC 14 information contained in this form are not (9-0 required to respond unless the form displays a currently valid OMB control number.						

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
 (e.g., puts, calls, warrants, options, convertible securities)

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5. Number	6. Date Exercisable and	7. Title and Amount of
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transactio	onof Derivative	Expiration Date	Underlying Securities
Security	or Exercise		any	Code	Securities	(Month/Day/Year)	(Instr. 3 and 4)

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(Instr. 3)	Price of Derivative Security		(Month/Day/Year)	(Instr.			d d of , 4,				
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amoun or Number of Shares
Employee Stock Option	\$ 4.66	05/15/2015		A		5,000		05/15/2016 <u>(1)</u>	05/15/2025	Common Stock	5,000
Report	ting Ow	ners									

Reporting Owner Name / Address				
	Director	10% Owner	Officer	Other
ENGELSEN STEINAR J 3 TWIN DOLPHIN DRIVE, SUITE 160 REDWOOD CITY, CA 94065	Х			
Signatures				
/s/ David O'Toole, Attorney-in-Fact	05/19/201	5		
**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).
- One hundred percent (100%) of the shares subject to the option shall be vested on the earlier of one-year from the grant date of May 15,
 (1) 2015, or the day prior to the Company's annual stockholder meeting in 2016; subject to Optionee's continuing to be a Service Provider on such dates.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. 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.