

HEMISPHERX BIOPHARMA INC
 Form 4
 December 14, 2015

FORM 4

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

OMB APPROVAL

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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 OWNERSHIP OF SECURITIES

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 Responses)

1. Name and Address of Reporting Person *
 CARTER WILLIAM A

2. Issuer Name and Ticker or Trading Symbol
 HEMISPHERX BIOPHARMA INC
 [HEB]

5. Relationship of Reporting Person(s) to Issuer
 (Check all applicable)

(Last) (First) (Middle)
 89501 OLD HIGHWAY
 (Street)

3. Date of Earliest Transaction (Month/Day/Year)
 12/09/2015

Director 10% Owner
 Officer (give title below) Other (specify below)
 CEO

TAVERNIER, FL 33070
 (City) (State) (Zip)

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

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. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Ownership Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | | (A) or (D) | Code V Amount (D) Price | | |

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

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 control number.

SEC 1474
 (9-02)

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

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

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| (Instr. 3) | Price of Derivative Security | (Month/Day/Year) | (Instr. 8) | Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | Date Exercisable | Expiration Date | Title | Amount Number Shares |
|------------|------------------------------|------------------|------------------|---|-----------|------------------|-----------------|--------------|----------------------|
| | | | | Code | V (A) (D) | | | | |
| Options | \$ 2.71 | 12/09/2015 | J ⁽¹⁾ | | 73,728 | 12/22/2010 | 12/22/2020 | Common Stock | 73,728 |
| Options | \$ 4.03 | 12/09/2015 | J ⁽¹⁾ | | 10,000 | 04/13/2012 | 04/13/2022 | Common Stock | 10,000 |
| Options | \$ 2.6 | 12/09/2015 | J ⁽¹⁾ | | 320,000 | 12/08/2015 | 12/08/2024 | Common Stock | 320,000 |
| Options | \$ 0.29 | 12/09/2015 | J ⁽¹⁾ | | 100,000 | 07/05/2012 | 06/06/2022 | Common Stock | 100,000 |
| Options | \$ 0.25 | 12/09/2015 | J ⁽¹⁾ | | 150,000 | 08/02/2013 | 08/02/2023 | Common Stock | 150,000 |
| Warrants | \$ 0.51 | 12/09/2015 | J ⁽¹⁾ | | 491,196 | 02/01/2009 | 02/01/2019 | Common Stock | 491,196 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| CARTER WILLIAM A 89501 OLD HIGHWAY TAVERNIER, FL 33070 | X | | CEO | |

Signatures

William A. Carter
12/11/2015

**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).
- (1) As Section 5.1 in the 2009 Equity Incentive Plan states that there is an aggregate limitation of 3 million shares per person, these options and warrants were forfeited to comply with this limitation.

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.