**ENCISION INC** Form 3 July 03, 2014

## FORM 3

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES** 

January 31, Expires: 2005

Estimated average burden hours per

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

response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*

Statement

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

A Ray Valerie

(Month/Day/Year)

**ENCISION INC [ECIA.PK]** 

(Last)

1. Title of Security

(Instr. 4)

(Middle)

07/03/2014

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

6797 WINCHESTER CIRCLE

(First)

(Street)

(Check all applicable)

6. Individual or Joint/Group

Director 10% Owner \_X\_\_ Officer Other

Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

BOULDER, Â COÂ 80301

(give title below) (specify below) VP of Operations

Form filed by More than One

Reporting Person

(City) (State) (Zip)

> 2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership

**Table I - Non-Derivative Securities Beneficially Owned** 

4. Nature of Indirect Beneficial

Ownership (Instr. 5)

Form: Direct (D) or Indirect (I) (Instr. 5)

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

SEC 1473 (7-02)

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.

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

1. Title of Derivative 2. Date Exercisable and 3. Title and Amount of 4. 5. 6. Nature of Indirect Security **Expiration Date** Securities Underlying Conversion Ownership Beneficial (Month/Day/Year) (Instr. 4) **Derivative Security** or Exercise Form of Ownership (Instr. 4) Price of Derivative (Instr. 5) Derivative Security: Date Exercisable Expiration Security Direct (D) Date Amount or or Indirect Title Number of (I) Shares (Instr. 5)

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D

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Stock Option (Right to Buy) 03/31/2015(1) 03/31/2019 Common Stock 20,000 \$ 1

**Reporting Owners** 

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Ray Valerie

6797 WINCHESTER CIRCLE  $\hat{A}$   $\hat{A}$   $\hat{A}$  VP of Operations  $\hat{A}$ 

BOULDER, COÂ 80301

**Signatures** 

/s/ James H. Carroll, Attorney-in-Fact 07/03/2014

\*\*Signature of Reporting Person Date

## **Explanation of Responses:**

\* If the form is filed by more than one reporting person, see Instruction 5(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) 20% of the option shares vest on March 31, 2015. 1/48 of the option shares vest monthly thereafter.

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.

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