

SECURITIES & EXCHANGE COMMISSION EDGAR FILING

SIMULATIONS PLUS INC

Form: 4

Date Filed: 2020-02-04

Corporate Issuer CIK: 1023459

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Estimated average burden hours
per response... 0.5

☐ 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 or Section 30(h) of the
Investment Company Act of 1940

(Print or Type Responses)

| | | | | | | | |
|--|---|--|-----------------------------------|---|--|---|--|
| 1. Name and Address of Reporting Person Paglia John Kenneth | | 2. Issuer Name and Ticker or Trading Symbol SIMULATIONS PLUS INC [SLP] | | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) <input checked="" type="checkbox"/> Director <input type="checkbox"/> Officer (give title below) <input type="checkbox"/> 10% Owner <input type="checkbox"/> Other (specify below) | | | |
| (Last) (First) (Middle) 42505 10TH STREET WEST | | 3. Date of Earliest Transaction (Month/Day/Year) 02/03/2020 | | | | | |
| (Street) LANCASTER, CA 93534 | | 4. If Amendment, Date Original Filed(Month/Day/Year) | | 6. Individual or Joint/Group Filing(Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person | | | |
| (City) (State) (Zip) | | 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 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 Amount (A) or (D) Price | | | | |
| Common Stock (1) | 02/03/2020 | | A | 445 A \$ 32.58 | 2,966 | D | |

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 (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. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Price of Derivative Security (Instr. 5) | 9. Number of Derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4) | 10. Ownership Form of Derivative Security: 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 | | | | |
| Stock Option (right to buy) (2) | (3) | | | | | (4) (5) | Common Stock 22,500 | | 22,500 | D | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| Paglia John Kenneth 42505 10TH STREET WEST LANCASTER, CA 93534 | X | | | |

Signatures

| | |
|-------------------------------|------------|
| /s/ John Paglia | 02/04/2020 |
| 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) Stock granted as independent director compensation, issued from the 2017 Equity Incentive Plan.
- (2) Options granted as independent director compensation, issued from the 2017 Equity Incentive Plan.
- (3) Exercise price range \$6.75 to \$34.23.
- (4) The option is vested over a three year period with 40% on the first anniversary of the date of grant and continuing to vest as to the 2nd and 3rd installment on the 2nd and 3rd anniversary date thereafter at 30%.
- (5) Expiration dates range from 8/31/2025 to 7/19/2029.

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

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| Reporting Owner Name / Address | Relationships | | | |
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| Paglia John Kenneth 42505 10TH STREET WEST LANCASTER, CA 93534 | X | | | |

Signatures

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| /s/ John Paglia | 02/04/2020 |
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