#### Edgar Filing: CORTEX PHARMACEUTICALS INC/DE/ - Form 4

#### CORTEX PHARMACEUTICALS INC/DE/

Form 4 July 21, 2014

### FORM 4

### **OMB APPROVAL**

Expires:

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

**OMB** Number:

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

Estimated average burden hours per response... 0.5

3235-0287

January 31,

2005

Form 5 obligations may continue. See Instruction

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* WEINGARTEN ROBERT N

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to Issuer

Symbol

CORTEX PHARMACEUTICALS INC/DE/ [CORX]

(Check all applicable)

Vice President and CFO

(Last)

(First) (Middle) 3. Date of Earliest Transaction

(Month/Day/Year)

07/17/2014

\_X\_\_ Director X\_ Officer (give title below)

10% Owner Other (specify

C/O CORTEX

PHARMACEUTICALS, INC., 126 VALLEY ROAD, SUITE C

(Street)

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check

Filed(Month/Day/Year)

Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

GLEN ROCK, NJ 07452

(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1.Title of Security (Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year) Execution Date, if

(Month/Day/Year)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8) (Instr. 3, 4 and 5) 5. Amount of Securities Beneficially Owned Following

6. Ownership 7. Nature of Form: Direct Indirect (D) or Indirect (I) (Instr. 4)

Beneficial Ownership (Instr. 4)

(A)

Reported Transaction(s)

(Instr. 3 and 4) Code V Amount (D) Price

By

Common Stock

 $15,000,000 \stackrel{(1)}{=} I$ 

Resource One Group, LLC (1)

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)

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

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3)                            | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transactio<br>Code<br>(Instr. 8) | 5. Number of onDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) |                    | e Underlying Securitie |                           |
|--|---|--------------------------------------|---|--|---|--|--------------------|------------------------|---------------------------|
|  |   |                                      |   | Code V                                 | (A) (D)   | Date<br>Exercisable                                      | Expiration<br>Date | Title                  | Amoun<br>Number<br>Shares |
| Common<br>Stock<br>Options<br>(to<br>purchase<br>shares of<br>Common<br>Stock) | \$ 0.05   | 07/17/2014                           |   | A                                      | 5,000,000   | (2)  | 07/17/2019         | Common<br>Stock        | 5,000.                    |

## **Reporting Owners**

| Reporting Owner Name / Address   | Relationships |           |                        |       |
|--|---------------|-----------|------------------------|-------|
|  | Director      | 10% Owner | Officer                | Other |
| WEINGARTEN ROBERT N<br>C/O CORTEX PHARMACEUTICALS, INC.<br>126 VALLEY ROAD, SUITE C<br>GLEN ROCK, NJ 07452 | X             |           | Vice President and CFO |       |

### **Signatures**

/s/ Robert N.
Weingarten

\*\*Signature of Reporting

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) These shares of common stock were previously owned directly and were transferred on April 18, 2014 to Resource One Group, LLC, an entity controlled by the reporting person.
- (2) The Common Stock Options vest in three equal installments on July 17, 2014, September 30, 2014 and December 31, 2014.

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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