

Edgar Filing: GENTA INCORPORATED /DE/ - Form 4

GENTA INCORPORATED /DE/  
Form 4  
October 09, 2002

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OMB APPROVAL  
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FORM 4  
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UNITED STATES SECURITY AND EXCHANGE COMMISSION  
Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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(f) of the Investment Company Act of 1940

Check this box if no longer subject to Section 16. Form 4 or Form 5  
obligation may continue. See Instruction 1(b)

(Print or Type Responses)

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1. Name and Address of Reporting Person\*

Warrell, Jr.                      Raymond                      P.  
-----  
(Last)                              (First)                              (Middle)

c/o Genta Incorporated  
Two Connell Drive

-----  
(Street)

Berkeley Heights              NJ                              07922  
-----  
(City)                              (State)                              (Zip)

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2. Issuer Name and Ticker or Trading Symbol

Genta Incorporated (Nasdaq: GNTA)  
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3. I.R.S. Identification Number of Reporting Person, if an entity (voluntary)

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4. Statement for Month/Year

October 8, 2002  
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5. If Amendment, Date of Original (Month/Year)

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

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

Chief Executive Officer

7. 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.<br>Title of Security<br>(Instr. 3) | 2.<br>Transaction<br>Date<br>(Month/Day/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8) |   | 4.<br>Securities Acquired (A)<br>or Disposed of (D)<br>(Instr. 3, 4 and 5) |           |        | 5.<br>Amount<br>Sec<br>Ben<br>Own<br>of<br>(In<br>and |
|---------------------------------------|---|---|---|--|-----------|--------|---|
|                                       |   | Code                                    | V | Amount   | or<br>(D) | Price  |   |
| Common Stock, par value \$.001        | 10/8/02                                       | P                                       |   | 4,000  | A         | \$5.87 | 35,   |
| Common Stock, par value \$.001        |   |   |   |  |           |        | 10,   |

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

\* If the form is filed by more than one reporting person, see Instruction 5(b)(v).

FORM 4 (continued)

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

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| 1.<br>Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conver-<br>sion<br>or<br>Exer-<br>cise<br>Price<br>of<br>Deriv-<br>ative<br>Secur-<br>ity | 3.<br>Trans-<br>action<br>Date<br>(Month/<br>Day/<br>Year) | 4.<br>Trans-<br>Action<br>Code<br>(Instr.<br>8)<br>-----<br>Code V | 5.<br>Number of<br>Derivative<br>Securities<br>Acquired (A)<br>or Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5)<br>-----<br>(A) (D) | 6.<br>Date<br>Exercisable and<br>Expiration Date<br>(Month/Day/Year)<br>-----<br>Date Expira-<br>tion<br>Date | 7.<br>Title and Amount<br>of Underlying<br>Securities<br>(Instr. 3 and 4)<br>-----<br>Amount<br>or<br>Number<br>of<br>Shares | 8.<br>Pr<br>of<br>De<br>at<br>Se<br>it<br>(I<br>5) |
|--|---|--|--|---|---|--|--|
| -----  | -----   | -----  | -----  | -----   | -----   | -----  | -----  |
| -----  | -----   | -----  | -----  | -----   | -----   | -----  | -----  |
| -----  | -----   | -----  | -----  | -----   | -----   | -----  | -----  |

Explanation of Responses:

- (1) Does not include 1,000 shares held by the Reporting Person's spouse's individual retirement account or 5,995 shares held by Reporting Person's spouse issued as a hiring bonus.
- (2) Held by the Reporting Person's individual retirement account.
- (3) Shares issued to Relgen LLC, a privately held corporation, of which the Reporting Person is the majority stockholder.

/s/ Raymond P. Warrell, Jr.

October 8, 2002

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\*\* Signature of Reporting Person

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Date

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

\* 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).

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