NephroGenex, Inc. Form 4 November 12, 2015

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

Check this box if no longer STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF subject to **SECURITIES** Section 16. Form 4 or

> 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).

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obligations

may continue.

See Instruction

(Print or Type Responses)

RALEIGH, NC 27604

1. Title of

1. Name and Address of Reporting Person \* 2. Issuer Name and Ticker or Trading Legault Pierre Symbol NephroGenex, Inc. [NRX]

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

(Month/Day/Year) C/O NEPHROGENEX, INC., 3200 11/10/2015

BEECHLEAF COURT, SUITE 900

(Street)

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

OMB

Number:

Expires:

response...

Estimated average

burden hours per

**OMB APPROVAL** 

3235-0287

January 31,

Beneficial

Ownership

(Instr. 4)

2005

0.5

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

\_X\_\_ Director 10% Owner X\_ Officer (give title Other (specify below)

Chief Executive Officer

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

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

2. Transaction Date 2A. Deemed 4. Securities Acquired 5. Amount of 6. Ownership 7. Nature of Security (Month/Day/Year) Execution Date, if Transaction(A) or Disposed of (D) Securities Form: Direct Indirect (Instr. 3) Code (Instr. 3, 4 and 5) Beneficially (D) or (Month/Day/Year) Owned Indirect (I) (Instr. 8) Following (Instr. 4) Reported (A) Transaction(s) or (Instr. 3 and 4) Code V Amount (D) Price 646,930 Common

3.

11/10/2015 Α \$0 659,430 D (1) Stock

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

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

#### Edgar Filing: NephroGenex, Inc. - Form 4

| 1. Title of Derivative | 2. Conversion                                     | 3. Transaction Date (Month/Day/Year) |                  | 4.<br>Transactio | 5.<br>orNumber  | 6. Date Exerc<br>Expiration D |                    | 7. Title at Amount of                  |                         | 8. Price of Derivative | 9. Nu<br>Deriv  |
|------------------------|---|--------------------------------------|------------------|------------------|---|-------------------------------|--------------------|--|-------------------------|------------------------|---|
| Security (Instr. 3)    | or Exercise<br>Price of<br>Derivative<br>Security | (monda, Day, Teal)                   | (Month/Day/Year) | Code (Instr. 8)  | of (Month/Day/Year Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) |                               |                    | Underlyin<br>Securities<br>(Instr. 3 a | ng<br>s                 | Security<br>(Instr. 5) | Secur<br>Bene<br>Owne<br>Follo<br>Repo<br>Trans<br>(Instr |
|                        |   |                                      |                  | Code V           | (A) (D)   | Date<br>Exercisable           | Expiration<br>Date | or<br>Title Nu<br>of                   | nount<br>umber<br>uares |                        |   |

# **Reporting Owners**

| Reporting Owner Name / Address   | Relationships |           |                               |       |  |  |
|--|---------------|-----------|-------------------------------|-------|--|--|
| <b>F</b>   | Director      | 10% Owner | Officer                       | Other |  |  |
| Legault Pierre C/O NEPHROGENEX, INC. 3200 BEECHLEAF COURT, SUITE 900 RALEIGH, NC 27604 | X             |           | Chief<br>Executive<br>Officer |       |  |  |

## **Signatures**

/s/ Pierre
Legault

\*\*Signature of Reporting Person

11/12/2015

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) All shares of common stock are represented by unvested restricted stock units. The restricted stock units will vest in equal quarterly installments over a three year period beginning January 1, 2016.

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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