

# VICAL INC Reported by SAMANT VIJAY B

## FORM 4

(Statement of Changes in Beneficial Ownership)

## Filed 07/15/14 for the Period Ending 07/14/14

Address 10390 PACIFIC CENTER COURT

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SAN DIEGO, CA 92121-4340

Telephone 858-646-1100

CIK 0000819050

Symbol VICL

SIC Code 2836 - Biological Products, Except Diagnostic Substances

Industry Biotechnology & Drugs

Sector Healthcare

Fiscal Year 12/31





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

## UNITED STATES SECURITIES AND EXCHANGE **COMMISSION**

Washington, D.C. 20549

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

### 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

| 1. Name and Add                                | dress of R  | eporti | ng Person               |              |   | suer Nam                        |   |   |                  | Tra              | ading Sy  | mbo                   | ol 5. Relation<br>(Check all   |                |  | Person(s)   | to Issuer  |
|--|---|--------|-------------------------|--------------|---|---------------------------------|---|---|------------------|------------------|---|-----------------------|--|----------------|--|---|------------|
| SAMANT VI                                      | JAY B   |        |                         |              | VIC   | CAL IN                          | C [ V                                     | Ί   | CL]              |                  |   |                       |  |                |  |   |            |
| (Last) (First) (Middle)                        |   |        |                         |              | 3. Date of Earliest Transaction (MM/DD/YYYY)  |                                 |   |   |                  |                  |   |                       |  |                | 10%  | Owner   |            |
|  |   |        |                         |              |   |                                 |   |   |                  |                  |   |                       | X Office below)  | er (give title | e below)   | Othe  | r (specify |
| 10390 PACIFIC CENTER COURT                     |   |        |                         | RT           | 7/14/2014   |                                 |   |   |                  |                  |   |                       | President  | & CEO          |  |   |            |
|  | (Street)  |        |                         |              |   | Amendn<br>DD/YYYY)              |   | at  | e Origi          | nal              | Filed   |                       | 6. Individu<br>Applicable Li   |                | nt/Group I   | Filing (Che   | eck        |
| SAN DIEGO                                      | , CA 92   | 121    |                         |              |   |                                 |   |   |                  |                  |   |                       |  |                |  |   |            |
| (City) (State) (Zip)                           |   |        |                         |              |   |                                 |   |   |                  |                  |   |                       | X _ Form filed by One Reporting Person Form filed by More than One Reporting Person      |                |  |   |            |
|  |   | Tab    | ole I - Non             |              |   |                                 |   |   | <del>•</del>     |                  |   |                       | r Beneficially   |                |  | 1   | 1          |
| 1.Title of Security (Instr. 3)                 |   |        | 2. Ti                   | Γrans.<br>te |   | 3. Trans.<br>Code<br>(Instr. 8) |   | 4. Securities A or Disposed of (Instr. 3, 4 and |                  | of (D) Own       |   |                       | mount of Securities Beneficially<br>aed Following Reported Transaction(s)<br>r. 3 and 4) |                | Ownership<br>Form:   | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership   |            |
|  |   |        |                         |              |   | any                             | Code                                      | v   | Amount           | (A)<br>or<br>(D) | Price   |                       |  |                |  |   | (Instr. 4) |
| Common Stock \$.01 par value                   |   |        |                         | 7/14         | /2014   |                                 | S (1)                                     |   | 4737             | D                | \$1.1703  | (2)                   | 941251 (3)   |                | D  |   |            |
| Tal  | ole II - De   | rivati | ive Securi              | ties E       | Benef   | icially O                       | wned                                      | ( (   | <i>e.g.</i> , pı | ıts,             | calls, wa   | arra                  | ants, options,   | convert        | ible secur   | ities)  | •          |
| 1. Title of Derivate<br>Security<br>(Instr. 3) | Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security |        | Deemed T<br>Execution C |              | 5. Number of<br>Derivative<br>Securities<br>8) Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and<br>5) |                                 | and Expiration Date Secu<br>Deri<br>(Inst |   |                  |                  | 7. Title an<br>Securities<br>Derivative<br>(Instr. 3 ar | Und<br>e Sec<br>nd 4) | erlying<br>urity   | (Instr. 5)     | of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported | Ownership<br>Form of<br>Derivative<br>Security:<br>Direct (D)<br>or Indirect<br>(I) (Instr. | Beneficial |
|  |   |        |                         | Code V       | V (A  | ) (D)                           | Date<br>Exerci                            | Date Expiration Date Title Amount or Shares     |                  | or Number of     | Transaction (s) (Instr. 4)                              |                       | 4)   |                |  |   |            |

#### **Explanation of Responses:**

- (1) Sale of 4,737 shares of common stock issued upon release of 9,474 restricted stock units on July 11 and 13, 2014 to cover withholding taxes, with the balance of the shares (4,737) maintained by the Reporting Person. The sale was affected by a broker pursuant to instructions set forth in a Rule 10b5-1 plan adopted by the Reporting Person and delivered to the broker on February 26, 2014.
- (2) Represents a weighted average sales price per share. The prices actually received ranged from \$1.16 to \$1.18. The Reporting Person has provided to the issuer, and will provide to any security holder of the issuer or the SEC staff, upon request, information regarding the number of shares sold at each price within the range.
- (3) This balance includes 426,750 unvested shares subject to restricted stock units.

Reporting Owners

| reporting o where                            |               |           |                 |       |  |  |  |  |
|--|---------------|-----------|-----------------|-------|--|--|--|--|
| Deporting Overson Name / Address             | Relationships |           |                 |       |  |  |  |  |
| Reporting Owner Name / Address               | Director      | 10% Owner | Officer         | Other |  |  |  |  |
| SAMANT VIJAY B<br>10390 PACIFIC CENTER COURT | X             |           | President & CEO |       |  |  |  |  |
| SAN DIEGO, CA 92121                          |               |           |                 |       |  |  |  |  |

#### **Signatures**

Sandy R. Medina (via Power of Attorney)

7/15/2014

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.

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.