

Farah John M JR
Form 4
March 06, 2013

FORM 4

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

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,
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section
30(h) of the Investment Company Act of 1940

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
Farah John M JR

2. Issuer Name and Ticker or Trading
Symbol

AEOLUS PHARMACEUTICALS,
INC. [AOLS]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction
(Month/Day/Year)
02/10/2011

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

C/O AEOLUS
PHARMACEUTICALS,
INC., 26361 CROWN VALLEY
PARKWAY, SUITE 150

(Street)

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

6. Individual or Joint/Group Filing(Check
Applicable Line)

☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting
Person

MISSION VIEJO, CA 92691

(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	(D)	Price

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

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SEC 1474
(9-02)

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

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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 Underlying Security (Instr. 3 and 4)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Non-qualified Stock Option (right to buy)	\$ 0.8	02/10/2011		A		3,750		<u>(1)</u>	02/10/2021	Common Stock	3,750
Non-qualified Stock Option (right to buy)	\$ 0.5	04/13/2011		A		11,250		<u>(1)</u>	04/13/2021	Common Stock	11,250
Non-qualified Stock Option (right to buy)	\$ 0.4	05/16/2011		A		3,750		<u>(1)</u>	05/16/2021	Common Stock	3,750
Non-qualified Stock Option (right to buy)	\$ 0.54	06/13/2011		A		3,750		<u>(1)</u>	06/13/2021	Common Stock	3,750
Non-qualified Stock Option (right to buy)	\$ 0.44	08/11/2011		A		3,750		<u>(1)</u>	08/11/2021	Common Stock	3,750
Non-qualified Stock Option (right to buy)	\$ 0.4	11/07/2011		A		11,250		<u>(1)</u>	11/07/2021	Common Stock	11,250
Non-qualified Stock Option (right to buy)	\$ 0.4	12/14/2011		A		3,750		<u>(1)</u>	12/14/2021	Common Stock	3,750
Non-qualified Stock Option (right to buy)	\$ 0.35	02/10/2012		A		3,750		<u>(1)</u>	02/10/2022	Common Stock	3,750
Non-qualified Stock Option (right to buy)	\$ 0.31	03/20/2012		A		11,250		<u>(1)</u>	03/20/2022	Common Stock	11,250
Non-qualified Stock Option (right to buy)	\$ 0.3	05/14/2012		A		3,750		<u>(1)</u>	05/14/2022	Common Stock	3,750
Non-qualified Stock Option (right to buy)	\$ 0.23	07/11/2012		A		11,250		<u>(1)</u>	07/11/2022	Common Stock	11,250
Non-qualified	\$ 0.3	08/13/2012		A		3,750		<u>(1)</u>	08/13/2022	Common	3,750

Stock Option (right to buy)								Stock	
Non-qualified Stock Option (right to buy)	\$ 0.35	10/09/2012	A	11,250	<u>(1)</u>	10/09/2022	Common Stock	11,2	
Non-qualified Stock Option (right to buy)	\$ 0.24	12/27/2012	A	3,750	<u>(1)</u>	12/27/2022	Common Stock	3,75	
Non-qualified Stock Option (right to buy)	\$ 0.25	02/12/2013	A	3,750	<u>(1)</u>	02/12/2023	Common Stock	3,75	

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Farah John M JR C/O AEOLUS PHARMACEUTICALS, INC. 26361 CROWN VALLEY PARKWAY, SUITE 150 MISSION VIEJO, CA 92691	X			

Signatures

/s/ John McManus, by power of attorney 03/06/2013

__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) Option will vest in equal monthly installments over a period of twelve months from the date of grant, provided that the Director remains on the Board of Directors of the Company.

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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