

Edgar Filing: GENTA INCORPORATED /DE/ - Form 4

GENTA INCORPORATED /DE/  
Form 4  
February 08, 2002

FORM 4

OMB APPROVAL

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OMB NUMBER: 3235-0104  
Expires: December 31, 2001  
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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 box if no longer subject to Section 16. Form 4 or Form 5 obligations  
may continue. See Instruction 1(b).

(Print or Type Response)

1. Name and Address of Reporting Person\*

Klem Robert E.  
-----  
(Last) (First) (Middle)

c/o Genta Incorporated  
Two Connell Drive

-----  
(Street)

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

2. Issuer Name and Ticker or Trading Symbol  
Genta Incorporated (Nasdaq: GNTA)

3. I.R.S. Identification Number of Reporting Person, if an entity (Voluntary)

3. Statement for Month/Year

January 2002

5. If Amendment, Date of Original (Month/Day/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)

VP & Chief Technical Officer

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

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

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Table I -- Non Derivative Securities Acquired, Disposed of,  
or Beneficially Owned

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1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		
		----- Code	V	Amount	(A) or (D)	Price
Common Stock, par value \$.001	1/02/02	X		6,000	A	\$0.94375
Common Stock, par value \$.001	1/02/02	S		6,000	D	\$13.9658
Common Stock, par value \$.001	1/15/02	X		6,000	A	\$0.94375
Common Stock, par value \$.001	1/15/02	S		6,000	D	\$13.3500

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).

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 CONTROL NUMBER.

SEC1474 (3-99)

FORM 4 (CONTINUED)

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TABLE II -- DERIVATIVE SECURITIES BENEFICIALLY OWNED  
(E.G., PUTS, CALLS, WARRANTS, OPTIONS, CONVERTIBLE SECURITIES)

1. Title of Derivative Security (Instr. 3)	2. Conver- sion or Exer- cise Price of Deriv- ative Secur- ity	3. Trans- action Date (Month/ Day/ Year)	4. Trans- action Code (Instr. 8) ----- Code V	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) ----- (A) (D)	6. Date Exercisable and Expiration Date (Month/Day/Year) ----- Date Expira- tion Date	7. Title and Amount of Underlying Securities (Instr. 3 and 4) ----- Amount or Number of Shares
Options to acquire Common Stock (2)	\$0.94375	1/02/02	X	6,000	3/31/99 5/28/08	Common Stock, par value \$.001 6,000
Options to acquire Common Stock (2)	\$0.94375	1/15/02	X	6,000	3/31/99 5/28/08	Common Stock, par value \$.001 6,000
Options to acquire Common Stock (3)	\$13.70	1/25/02	A		1/25/03 1/25/12	Common Stock, par value \$.001 15,000

Explanation of Responses

- (1) Does not include 12,000 shares held by the Reporting Person's children's individual retirement accounts.
- (2) Issued under the Company's 1998 Employee Stock Incentive Plan.
- (3) These options were granted as part of an annual bonus. These options vest equally over the next four (4) years.

/s/ Robert E. Klem

February 8, 2002

\*\*Signature of Reporting Person

Date

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\*\* 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.

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