

Edgar Filing: GENTA INCORPORATED /DE/ - Form 4

GENTA INCORPORATED /DE/  
Form 4  
April 09, 2002

OMB APPROVAL

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

FORM 4

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 Response)

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1. Name and Address of Reporting Person\*

Klem Robert E.

(Last) (First) (Middle)

c/o Genta Incorporated  
Two Connell Drive

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(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

March 2002

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

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

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/<br>Day/<br>Year) | 3.<br>Transaction<br>Code<br>(Instr. 8)<br>-----<br>Code V | 4.<br>Securities Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and 5) |                  |           |
|---------------------------------------|---|--|--|------------------|-----------|
|                                       |   |  | Amount   | (A)<br>or<br>(D) | Price     |
| Common Stock, par value \$.001        | 3/01/02   | X  | 6,000  | A                | \$0.94375 |
| Common Stock, par value \$.001        | 3/01/02   | S  | 6,000  | D                | \$12.7450 |
| Common Stock, par value \$.001        | 3/15/02   | X  | 6,000  | A                | \$0.94375 |
| Common Stock, par value \$.001        | 3/15/02   | S  | 6,000  | D                | \$15.6492 |

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)

Potential persons who are to respond to the collection of information contained

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in this form are not Required to respond unless the form displays a currently valid OMB control number.  
SEC 1474 (3-99)

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

| 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>Exer-<br>cisable Date | 7.<br>Title and Amount<br>of Underlying<br>Securities<br>(Instr. 3 and 4)<br>-----<br>Amount<br>of<br>Number<br>of<br>Shares | 8<br>P<br>o<br>D<br>a<br>S<br>i<br>(<br>5 |
|--|---|--|--|--|--|--|---|
| Options to<br>acquire Common<br>Stock (2)              | \$0.94375   | 3/01/02  | X  | 6,000  | 3/31/99 5/28/08  | Common<br>Stock,<br>par<br>value<br>\$.001   | 6,000 \$                                  |
| Options to<br>acquire Common<br>Stock (2)              | \$0.94375   | 3/15/02  | X  | 6,000  | 3/31/99 5/28/08  | Common<br>Stock,<br>par<br>value<br>\$.001   | 6,000 \$5                                 |

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.

/s/ Robert E. Klem

April 9, 2002

\*\*Signature of Reporting Person

Date

\*\* 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.

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If space is insufficient, see Instruction 6 for procedure.

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