SEC Form 4

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

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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 Address of Reporting Person* ERICKSON RONALD P						2. Issuer Name and Ticker or Trading Symbol VISUALANT INC [VSUL]								5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
					3. Date of Earliest Transaction (Month/Day/Year)								x	X Director			10% Owner		
(Last)	(First)) (I	07/12/2016								X	X Officer (give title below)			Other (specify below)				
500 UNION S											CEO and	d Pres	ident						
SUITE 420						4. If Amendment, Date of Original Filed (Month/Day/Year)								6. Individual or Joint/Group Filing (Check Applicable Line)					
(Street)														X Form filed by One Reporting Person Form filed by More than One Reporting Person					
SEATTLE	WA	9	98101											Form file	d by More	than C	one Reportin	ig Person	
(City)	(State	e) (Zip)																	
		Т	able I - No	n-Deri	vativ	e S	ecurit	ies Acc	quired, I	Disp	oosed o	f, or Benef	icially Ov	vned					
Date				Date	2. Transaction Date Month/Day/Year)		2A. Deemed Execution Date, if any (Month/Day/Year)		3. Transaction Code (Instr. 8)			ities Acquired (d Of (D) (Instr. 3		nd 5) Securities Beneficial Following		6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)		7. Nature of Indirect Beneficial Ownership	
									Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)				(Instr. 4)	
Common Stock												18,934			D				
Common Stock												3,334			Ι	.(1)			
Common Stock											1	1,4	1,467		Ι	.(2)			
Common Stock													1	20,3	20,336		Ι	· ⁽³⁾	
Common Stock 07/					2/2016			M ⁽⁸⁾		66,6	66,667 A		110,001			I	.(4)		
Common Stock												1,014			Ι	.(5)			
												or Benefici le securitie		ed					
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Da if any (Month/Day/Y	te, 4. Co	Transaction Code (Instr.		5. Nun Deriva Secur Acqui or Dis	nber of ative ities red (A) posed of astr. 3, 4	6. Date Exercisab Expiration Date (Month/Day/Year)		able and 7. Title and Amou Securities Under		, mount of derlying	8. Price of Derivative Security (Instr. 5)	9. Number derivative Securitie Beneficia Owned Following Reported	ve (es F ially [ng (10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Co	ode	v	(A)	(D)	Date Exercisat	Date Exercisable Da		Title	Amount or Number of Shares		(Instr. 4)	51(5)			
Series A Warrant	\$0.15	07/12/2016		Ν	M ⁽⁸⁾			33,333	06/14/201	.3 (06/14/2018	Common Stock	33,333	\$2.5	0		I	.(4)	
Series B Warrant	\$0.2	07/12/2016		N	M ⁽⁸⁾			33,334	06/14/201	.3 (06/14/2018	Common Stock	33,334	\$2.5	0		I	.(4)	
Option to Purchase Common Stock	\$22.5								(6)	(05/09/2020	Common Stock	13,334		13,334		D		
Option to Purchase Common Stock	\$19.5								(7)	(06/05/2022	Common Stock	6,667		6,66	7	D		

Explanation of Responses:

1. Held by Dia Armenta, the Reporting Person's wife.

2. Held by Ronald Erickson, the Reporting Person and Dia Armenta, the Reporting Person's wife.

3. Held by Juliz Limited Partnership- Family LP.

4. Held by J3E2A2Z Limited Partnership.

5. Held by Cerillion N4, an entity that is 50% owned by Dia Armenta, the Reporting Person's wife.

6. Option shares fully-vested quarterly over 2 years commencing 05/10/2010.

7. Option shares fully-vested quarterly over 1 year commencing 06/05/2012.

8. Exercise of Warrants.

/s/ Ronald P. Erickson

** Signature of Reporting Person

07/13/2016 Date

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 Number.