

Edgar Filing: VON HOFF DANIEL - Form 5

VON HOFF DANIEL  
Form 5  
February 13, 2002

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OMB APPROVAL  
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UNITED STATES SECURITY AND EXCHANGE COMMISSION  
Washington, D.C. 20549

FORM 5

ANNUAL 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)

Form 3 Holdings Reported

Form 4 Transactions Reported

(Print or Type Responses)

-----  
1. Name and Address of Reporting Person\*

Von Hoff Daniel D.  
-----  
(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)  
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3. IRS Identification Number of Reporting Person, if an entity (Voluntary)

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4. Statement for Month/Year

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December 31, 2001

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)

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/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8)<br>Code V | 4.<br>Securities Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and 5) |       |
|---------------------------------------|---|---|--|-------|
|                                       |   |   | Amount   | Price |
|                                       |   |   | (A)<br>or<br>(D)   |       |

Common Stock, par value \$.001

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 5 (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.  
SEC1474 (3-99)

TABLE II -- DERIVATIVE SECURITIES ACQUIRED, DISPOSED OF, OR 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>C<br>o<br>d<br>e<br>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>A D | 6.<br>Date<br>Exercisable and<br>Expiration Date<br>(Month/Day/Year)<br>Date Expira-<br>tion<br>Date | 7.<br>Title and Amount<br>of Underlying<br>Securities<br>(Instr. 3 and 4)<br>-----<br>Amount<br>or<br>Number<br>of<br>Shares |        |
|--|---|--|--|---|--|--|--------|
| Options to acquire<br>Common Stock (1)                 | \$6.75  | 1/12/00  | A5   |   | 1/12/01 1/12/10  | Common<br>Stock,<br>par<br>value<br>\$.001   | 50,000 |
| Options to acquire<br>Common Stock (2)                 | \$6.75  | 1/12/00  | A5   |   | 3/27/01 3/27/10  | Common<br>Stock,<br>par<br>value<br>\$.001   | 25,000 |
| Options to acquire<br>Common Stock (2)                 | \$14.15   | 12/13/01   | A  |   | 12/13/01 12/13/11  | Common<br>Stock,<br>par<br>value<br>\$.001   | 6,667  |

Explanation of Responses:

- (1) These options were granted upon election as a Director of Genta Incorporated. These options are fully vested.
- (2) These options were granted upon attendance to Genta Incorporated Board of Director's meeting. These options are fully vested.

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations.

See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a)

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/s/ Daniel D. Von Hoff

February 13, 2002

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\*\*Signature of Reporting Person

-----  
Date

Note: File three copies of this Form, one of which must be manually signed.  
If space is insufficient, See Instruction 6 for procedure

POTENTIAL PERSONS WHO ARE TO RESPOND TO THE COLLECTION OF INFORMATION CONTAINED  
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