## SEC Form 4

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## FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this bo	ox if no longer subject to
Section 16. F	Form 4 or Form 5
obligations m	ay continue. See
Instruction 1(	b).

### STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

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			or Section 30(h) of the Investment Company Act of 1940				
	dress of Reporting	Person <sup>*</sup>	2. Issuer Name <b>and</b> Ticker or Trading Symbol ZIOPHARM ONCOLOGY INC [ ZIOP ]		ationship of Reporting Pe ( all applicable)	erson(s) to Issuer	
<u>Pagan Douglas W.</u>				X	Director	10% Owner	
	(First) (Middle) RM ONCOLOGY. INC. AVENUE, PARRIS BLDG. 34	3. Date of Earliest Transaction (Month/Day/Year) 12/31/2019		Officer (give title below)	Other (specify below)		
ONE FIRST AVENUE, PARRIS BLDG. 34			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line)	vidual or Joint/Group Filing (Check Applicabl		
(Street)				x	Form filed by One Re	porting Person	
BOSTON	MA	02129			Form filed by More th Person	an One Reporting	
(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)			4. Securities A Disposed Of ( 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150.4)
Common Stock	12/31/2019		A		15,890(1)	Α	\$0.00	55,997	D	
Common Stock	12/31/2019		F		20,054 <sup>(2)</sup>	D	\$4.72	35,943	D	

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

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. Transa Code ( 8)		of		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Stock Option (right to buy)	\$4.72	12/31/2019		A		25,281		(3)	12/31/2029	Common Stock	25,281	\$0.00	25,281	D	

Explanation of Responses:

1. 15,890 shares vest on 12/31/2020.

2. Represents shares withheld to satisfy withholding tax obligations upon the vesting of a restricted stock grant.

3. 100% of the shares subject to the option vest on December 31, 2020, subject to Reporting Person's continuous service with the Issuer through such date.

**Remarks:** 

### <u>/s/ Robert Hadfield, Attorney-</u> <u>in-Fact</u>

01/03/2020

\*\* Signature of Reporting Person 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.

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