Edgar Filing: ESSEX WOODLANDS HEALTH VENTURES FUND VI L P - Form 4

ESSEX WOODLANDS HEALTH VENTURES FUND VI L P

Form 4

December 10, 2009

Check this box

if no longer

subject to

Section 16.

Form 4 or

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB Number:

3235-0287

Expires:

January 31, 2005

0.5

Estimated average

OMB APPROVAL

burden hours per

response...

Form 5 obligations may continue. See Instruction

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(h) of the Investment Company Act of 1940

1(b).

(Last)

(City)

(Print or Type Responses)

1. Name and Address of Reporting Person * ESSEX WOODLANDS HEALTH VENTURES FUND VI L P

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

ZIOPHARM ONCOLOGY INC

[ZIOP]

(Check all applicable)

(First)

3. Date of Earliest Transaction (Month/Day/Year)

Officer (give title below)

X 10% Owner Other (specify

21 WATERWAY, SUITE225

(Middle)

09/15/2009

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Applicable Line)

Director

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

Person

(Street)

THE WOODLANDS, TX 77380

(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)	3. Transactic Code (Instr. 8)	4. Securitie corr Dispose (Instr. 3, 4	d of (Ľ))	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock	09/15/2009		P	328,766	A	\$ 1.825 (1)	2,242,642	D	
Common Stock	12/08/2009		P	129,000	A	\$ 3.1 (1)	2,371,642	D	

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

Edgar Filing: ESSEX WOODLANDS HEALTH VENTURES FUND VI L P - Form 4

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. Transaction Code (Instr. 8)	5. Number of onDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount of Number of Shares
Warrant	\$ 2.04	09/15/2009		P	328,766	09/15/2009	09/15/2014	Common Stock	328,76
Warrant	\$ 4.02	12/08/2009		P	64,500	12/08/2009	12/08/2014	Common Stock	64,500

Reporting Owners

Reporting Owner Name / Address

Director 10% Owner Officer Other

ESSEX WOODLANDS HEALTH VENTURES FUND VI L P
21 WATERWAY
SUITE225
THE WOODLANDS, TX 77380

Signatures

/s/Martin P. Sutter, Managing Director of Essex Woodlands Health Ventures VI, LLC as General Partner of Essex Woodlands Health Ventures VI, LP as General Partner of the Reporting Person

12/10/2009

**Signature of Reporting Person

Date

Explanation of Responses:

- * 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).
- (1) Shares and warrants purchased as units.

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 in this form are not required to respond unless the form displays a currently valid OMB number.

Reporting Owners 2