SEC Form 4

FORM 4

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

Form filed by One Reporting Person

Form filed by More than One Reporting

Х

Person

		-			PPROVAL
Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See	STATEMEN	IT OF CHANGES IN BENEFICIAL OWN	OMB Number: Estimated avera	0	
Instruction 1(b).	(b). Filed pursuant to Section 16(a) of the Securities Exchange Act of 193 or Section 30(h) of the Investment Company Act of 1940 Idress of Reporting Person* 2. Issuer Name and Ticker or Trading Symbol Conditional Control of the Control		1	hours per respo	onse: 0.1
1. Name and Address of Reporting Person' <u>Armitage James O</u>	r	8,	5. Relationship of (Check all applicat X Director		n(s) to Issuer 10% Owner
C/O CARDIFF ONCOLOGY, INC.	Middle)	3. Date of Earliest Transaction (Month/Day/Year) 05/14/2020	- Officer (g below)	jive title	Other (specify below)
11055 FLINTKOTE AVENUE		4. If Amendment, Date of Original Filed (Month/Day/Year)	int/Group Filing (Check Applicable	

(Street) SAN DIEGO CA 92121 (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)		3. Transaction Code (Instr. 8)					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)		(1130.4)
Common Stock	05/14/2020		Р		10,490	Α	\$1.43	10,490	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. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D)	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)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)		

				of (D) (Instr. 3, and 5)			. 3, 4				Iransaction(s) (Instr. 4)				
					Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Evaluation of Decompany															

Explanation of Responses:

/s/ James Armitage

05/18/2020

** 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.