FORM 4

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

	OMB APPROVAL									
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3235-0287 OMB Number: Estimated average burden 0.5 hours per response:

> 1997 Trust By the Jon S. Saxe and Myrna

G. Marshall 1997 Trust

D

## Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See

Instruction 1(b) Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) 1. Name and Address of Reporting Person 2. Issuer Name and Ticker or Trading Symbol <u>VistaGen Therapeutics, Inc.</u> [ VTGN ] **SAXE JON S** Director 10% Owner Officer (give title Other (specify below) below) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) 03/13/2019 C/O VISTAGEN THERAPEUTICS, INC. 343 ALLERTON AVENUE 6. Individual or Joint/Group Filing (Check Applicable Line) 4. If Amendment, Date of Original Filed (Month/Day/Year) (Street) Form filed by One Reporting Person **SOUTH SAN** 94080 CA Form filed by More than One Reporting **FRANCISCO** (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5) 1. Title of Security (Instr. 3) 2. Transaction 2A. Deemed 5. Amount of 6. Ownership 7. Nature Transaction Form: Direct of Indirect **Execution Date** Securities Beneficially (Month/Day/Year) if any (Month/Day/Year) Code (Instr. (D) or Indirect **Beneficial** 8) Owned Following (I) (Instr. 4) Ownership (Instr. 4) Reported (A) or (D) Transaction(s) Code ٧ Price Amount (Instr. 3 and 4) By the Jon S. Saxe and Mvrna 03/13/2019 12,080 \$1.2584 12,080 Common Stock P A G. Marshall

	(e.g., puts, calls, warrants, options, convertible securities)												
of	2.		3A. Deemed	4.		6. Date Exercisable and	7. Title and	8. Price of					

L		(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				

P

7,920

Explanation of Responses:

Common Stock

Common Stock

/s/ Jerrold D. Dotson, 03/14/2019 Attorney-in-Fact

\*\* Signature of Reporting Person Date

\$1.2735

Α

20,000

3,251

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

03/14/2019

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.

<sup>\*</sup> If the form is filed by more than one reporting person, see Instruction 4 (b)(v).

<sup>\*\*</sup> Intentional misstatements or omissions of facts constitute Federal Criminal Violations See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).