

GARFINKLE PAUL
Form 4
October 13, 2017

FORM 4

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

OMB APPROVAL

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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
GARFINKLE PAUL

(Last) (First) (Middle)

C/O PERFUMANIA HOLDINGS, INC., 35 SAWGRASS DRIVE, SUITE 2

(Street)

BELLPORT, NY 11713

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
Perfumania Holdings, Inc. [PERF]

3. Date of Earliest Transaction
(Month/Day/Year)
10/11/2017

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director 10% Owner
 Officer (give title below) Other (specify below)

6. 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. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 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 Ownership (Instr. 4) | | |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|-----|-------|
| | | | | (A) or (D) | Code | V | Amount | (D) | Price |

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

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SEC 1474 (9-02)

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

| 1. Title of Derivative | 2. Conversion | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if | 4. Transaction | 5. Number of Derivative | 6. Date Exercisable and Expiration Date | 7. Title and Amount of Underlying Securities |
|------------------------|---------------|--------------------------------------|-------------------------------|----------------|-------------------------|---|--|
|------------------------|---------------|--------------------------------------|-------------------------------|----------------|-------------------------|---|--|

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| Security (Instr. 3) | or Exercise Price of Derivative Security | any (Month/Day/Year) | Code (Instr. 8) | Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | (Month/Day/Year) | | (Instr. 3 and 4) | | | |
|--------------------------------------|---|-------------------------|--------------------|--|------------------|--------|---------------------|--------------------|-----------------|-------------------------------------|
| | | | Code | V | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Stock Option (Right to Buy) | \$ 24.05 | 10/11/2017 | D ⁽¹⁾ | | | 1,000 | 01/31/2008 | 01/31/2018 | Common Stock | 1,000 |
| Stock Option (Right to Buy) | \$ 3.87 | 10/11/2017 | D ⁽¹⁾ | | | 1,000 | 01/28/2009 | 01/28/2019 | Common Stock | 1,000 |
| Stock Option (Right to Buy) | \$ 6.42 | 10/11/2017 | D ⁽¹⁾ | | | 1,000 | 12/10/2009 | 12/10/2019 | Common Stock | 1,000 |
| Stock Option (Right to Buy) | \$ 8.46 | 10/11/2017 | D ⁽¹⁾ | | | 5,000 | 10/08/2010 | 10/08/2020 | Common Stock | 5,000 |
| Stock Option (Right to Buy) | \$ 9.82 | 10/11/2017 | D ⁽¹⁾ | | | 5,000 | 01/26/2012 | 01/26/2022 | Common Stock | 5,000 |
| Stock Option (Right to Buy) | \$ 9.26 | 10/11/2017 | D ⁽¹⁾ | | | 15,000 | 04/02/2012 | 04/02/2022 | Common Stock | 15,000 |
| Stock Option (Right to Buy) | \$ 5.98 | 10/11/2017 | D ⁽¹⁾ | | | 5,000 | 01/10/2013 | 01/10/2023 | Common Stock | 5,000 |
| Stock Option (Right to Buy) | \$ 4.75 | 10/11/2017 | D ⁽¹⁾ | | | 5,000 | 12/11/2013 | 12/11/2023 | Common Stock | 5,000 |
| Stock Option (Right to Buy) | \$ 5.9 | 10/11/2017 | D ⁽¹⁾ | | | 5,000 | 12/10/2014 | 12/10/2024 | Common Stock | 5,000 |
| | \$ 3.65 | 10/11/2017 | D ⁽¹⁾ | | | 5,000 | 12/07/2015 | 12/07/2025 | | 5,000 |

Stock
Option
(Right to
Buy)

Common
Stock

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| GARFINKLE PAUL C/O PERFUMANIA HOLDINGS, INC. 35 SAWGRASS DRIVE, SUITE 2 BELLPORT, NY 11713 | X | | | |

Signatures

/s/ Matthew Dallett as
attorney-in-fact

10/13/2017

__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) In order to facilitate the reorganization of the issuer under Chapter 11 of the Bankruptcy Code, these securities (which had no value) were cancelled for no consideration upon effectiveness of the issuer's Plan of Reorganization.

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