

Lawley Lori D
Form 3
August 03, 2018

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB
Number: 3235-0104
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

INITIAL STATEMENT OF 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 *

Â Lawley Lori D
(Last) (First) (Middle)

C/O NEWLINK GENETICS
CORPORATION,Â 2503
SOUTH LOOP DR.

(Street)

AMES,Â IAÂ 50010

(City) (State) (Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)
08/01/2018

3. Issuer Name **and** Ticker or Trading Symbol
NEWLINK GENETICS CORP [(NLNK)]

4. Relationship of Reporting
Person(s) to Issuer

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

(Check all applicable)

____ Director ____ 10% Owner
__X__ Officer ____ Other
(give title below) (specify below)
Principal Accounting Officer

6. Individual or Joint/Group
Filing(Check Applicable Line)
__X__ Form filed by One Reporting
Person
____ Form filed by More than One
Reporting Person

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security
(Instr. 4)

2. Amount of Securities
Beneficially Owned
(Instr. 4)

3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)

4. Nature of Indirect Beneficial
Ownership
(Instr. 5)

Common Stock

1,526

D Â

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

SEC 1473 (7-02)

**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 control number.**

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

1. Title of Derivative
Security
(Instr. 4)

2. Date Exercisable and
Expiration Date
(Month/Day/Year)

3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)

4. Conversion
or Exercise
Price of
Derivative

5. Ownership
Form of
Derivative
Security:

6. Nature of Indirect
Beneficial
Ownership
(Instr. 5)

Edgar Filing: Lawley Lori D - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Stock Option (Right to Buy)	04/20/2016 ⁽¹⁾	04/19/2025	Common Stock	10,000	\$ 52.64	D	Â
Stock Option (Right to Buy)	02/01/2017 ⁽¹⁾	01/31/2026	Common Stock	2,000	\$ 24.42	D	Â
Stock Option (Right to Buy)	09/09/2016 ⁽²⁾	08/08/2026	Common Stock	5,000	\$ 10.78	D	Â
Stock Option (Right to Buy)	02/01/2018 ⁽¹⁾	01/31/2027	Common Stock	2,352	\$ 12.68	D	Â
Stock Option (Right to Buy)	12/01/2018 ⁽¹⁾	11/30/2027	Common Stock	10,000	\$ 8.86	D	Â
Stock Option (Right to Buy)	03/01/2019 ⁽¹⁾	03/08/2028	Common Stock	2,000	\$ 7.85	D	Â
Stock Option (Right to Buy)	09/01/2018 ⁽³⁾	07/31/2028	Common Stock	25,000	\$ 3.17	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships				Other
	Director	10% Owner	Officer		
Lawley Lori D C/O NEWLINK GENETICS CORPORATION 2503 SOUTH LOOP DR. AMES, IA 50010	Â	Â	Â	Principal Accounting Officer	Â

Signatures

/s/ Ryan Trytten,
attorney-in-fact

08/03/2018

__Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(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).

Grant to the Reporting Person of a stock option under the 2009 Equity Incentive Plan (the "Plan"). The option vests over a four-year period, with 25% of such option vesting on the one-year anniversary of the vesting commencement date and the remaining 75% of such option vesting in equal monthly installments over the next 36 months, provided that at the relevant vesting dates the Reporting Person's continuous service to the Issuer has not been terminated as defined in or as determined under the Plan. The option expires ten years after the date of grant.

(1) Grant to the Reporting Person of a stock option under the Plan. The option vests and becomes exercisable in a series of 36 successive equal monthly installments beginning on September 9, 2016, provided that at the relevant vesting dates the Reporting Person's continuous service to the Issuer has not been terminated as defined in or as determined under the Plan. The option expires ten years after the date of grant.

(3)

Edgar Filing: Lawley Lori D - Form 3

Grant to the Reporting Person of a stock option under the Plan. The option vests and becomes exercisable in a series of 48 successive equal monthly installments beginning on September 1, 2018, provided that at the relevant vesting dates the Reporting Person's continuous service to the Issuer has not been terminated as defined in or as determined under the Plan. The option expires ten years after the date of grant.

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.