

NEWLINK GENETICS CORP
Form SC 13G/A
February 13, 2018

SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, DC 20549
SCHEDULE 13G

Under the Securities Exchange Act of 1934

(Amendment No. 6)*

NewLink Genetics Corporation

(Name of Issuer)

Common Stock

(Title of Class of Securities)

651511 107

(CUSIP Number)

December 31, 2017

(Date of Event Which Requires Filing of this Statement)

Check the appropriate box to designate the rule pursuant to which this Schedule is filed:

Rule 13d-1(b)

Rule 13d-1(c)

Rule 13d-1(d)

*The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter the disclosures provided in a prior cover page.

The information required in the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange Act of 1934 ("Act") or otherwise subject to the liabilities of that section of the Act but shall be subject to all other provisions of the Act (however, see the Notes).

CUSIP
 No. 651511107
 13G
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 Pages

Names of
 Reporting
 Persons

1. Charles J. Link,
 Jr. M.D.

Check the
 Appropriate
 Box if a

2. Member of
 a Group (see
 instructions)

(a)
 (b)

3. SEC USE ONLY
 Citizenship or
 Place of

4. Organization
 United States of
 America

Sole Voting
 Power
 2,221,347
 shares of
 Common
 Stock
 (includes
 1,968,116

Number of
 3. Shares of
 Common
 Shares Stock issuable
 Beneficially exercise
 Owned of options
 by exercisable
 Each within 60
 Reporting days of
 Person December 31,
 With: 2017).

Shared

6. Voting Power
 0
7. Sole
 Dispositive
 Power

2,221,347
shares of
Common
Stock
(includes
1,968,116
shares of
Common
Stock issuable
upon exercise
of options
exercisable
within 60
days of
December 31,
2017).

8. Shared
Dispositive
Power
0

Aggregate
Amount
Beneficially
Owned by Each
Reporting Person
2,221,347 shares
of Common
Stock (includes

9. 1,968,116 shares
of Common
Stock issuable
upon exercise of
options
exercisable
within 60 days of
December 31,
2017).

Check if the
Aggregate
Amount in

10. Row (9)
Excludes
Certain
Shares (see
instructions)
Percent of Class
Represented by

11. Amount in Row 9
5.7%(1)

12. Type of
Reporting Person

(see instructions)

IN

(1) This percentage is calculated based upon 37,109,556 shares of the Issuer's common stock outstanding as of December 31, 2017.

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- Item 1(a). Name of Issuer: NewLink Genetics Corporation
- Item 1(b). Address of Issuer's Principal Executive Offices: 2503 South Loop Drive, Ames, Iowa 50010
- Item 2(a). Name of Person Filing: Charles J. Link, Jr. M.D.
- Item 2(b). Address of Principal Business Office or, if none, Residence: 2503 South Loop Drive, Ames, Iowa 50010
- Item 2(c). Citizenship: United States of America
- Item 2(d). Title of Class of Securities: Common Stock
- Item 2(e). CUSIP Number: 651511 107
- Item 3. If this statement is filed pursuant to §§240.13d-1(b), or 240.13d-2(b) or (c), check whether the person filing is a:
- (a) Broker or dealer registered under Section 15 of the Act (15 U.S.C. 78o);
 - (b) Bank as defined in section 3(a)(6) of the Act (15 U.S.C. 78c);
 - (c) Insurance company as defined in section 3(a)(19) of the Act (15 U.S.C. 78c);
 - (d) Investment company registered under section 8 of the Investment Company Act of 1940 (15 U.S.C. 80a-8);
 - (e) An investment adviser in accordance with §240.13d-1(b)(1)(ii)(E);
 - (f) An employee benefit plan or endowment fund in accordance with §240.13d-1(b)(1)(ii)(F);
 - (g) A parent holding company or control person in accordance with §240.13d-1(b)(1)(ii)(G);
 - (h) A savings associations as defined in Section 3(b) of the Federal Deposit Insurance Act (12 U.S.C. 1813);
 - (i) A church plan that is excluded from the definition of an investment company under section 3(c)(14) of the Investment Company Act of 1940 (15 U.S.C. 80a-3);
 - (j) A non-U.S. institution in accordance with §240.13d-1(b)(1)(ii)(J);
 - (k) Group, in accordance with §240.13d-1(b)(1)(ii)(K).
- If filing as a non-U.S. institution in accordance with §240.13d-1(b)(1)(ii)(J), please specify the type of institution: _____

Item 4. Ownership

- (a) Amount Beneficially Owned: 2,221,347 shares of Common Stock (includes 1,968,116 shares of Common Stock issuable upon exercise of options exercisable within 60 days of December 31, 2017).
- (b) Percent of Class: 5.7%
- (c) Number of shares as to which the person has:
- (i) Sole power to vote or to direct the vote: 2,221,347 shares of Common Stock (includes 1,968,116 shares of Common Stock issuable upon exercise of options exercisable within 60 days of December 31, 2017).
 - (ii) Shared power to vote or to direct the vote: 0
 - (iii) Sole power to dispose or to direct the disposition of: 2,221,347 shares of Common Stock (includes 1,968,116 shares of Common Stock issuable upon exercise of options exercisable within 60 days of December 31, 2017).
 - (iv) Shared power to dispose or to direct the disposition of: 0

Item 5. Ownership of 5 Percent or Less of a Class

Not Applicable.

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Item 6. Ownership of More than 5 Percent on Behalf of Another Person

Not Applicable.

Item 7. Identification and Classification of the Subsidiary Which Acquired the Security Being Reported on By the Parent Holding Company or Control Person.

Not Applicable.

Item 8. Identification and Classification of Members of the Group

Not Applicable.

Item 9. Notice of Dissolution of a Group

Not Applicable.

Item 10. Certification

Not Applicable. This statement is being filed pursuant to 13d-1(d).

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SIGNATURE

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

February 13, 2018

Date

/s/ Charles J. Link, Jr. M.D.

Signature

Charles J. Link, Jr. M.D.

Name/Title