

CONN GREGORY  
Form 3  
March 25, 2019

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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## 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 \*

CONN GREGORY

(Last) (First) (Middle)

300 CONNELL DRIVE, SUITE  
4000

(Street)

BERKELEY  
HEIGHTS, NJ 07922

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

03/15/2019

3. Issuer Name and Ticker or Trading Symbol  
PDS Biotechnology Corp [PDSB]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner

☐ Officer ☐ Other  
(give title below) (specify below)

Chief Scientific Officer

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

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 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

115,545

D

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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)  
Title

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:  
Direct (D)

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

## Edgar Filing: CONN GREGORY - Form 3

	Date Exercisable	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Employee Stock Option (Right to Buy)	Â (1)	01/31/2026	Common Stock	17,764	\$ 6.87	D	Â
Employee Stock Option (Right to Buy)	Â (2)	07/06/2028	Common Stock	14,450	\$ 15.33	D	Â
Employee Stock Option (Right to Buy)	Â (3)	03/14/2029	Common Stock	44,871	\$ 9.04	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
CONN GREGORY 300 CONNELL DRIVE, SUITE 4000 BERKELEY HEIGHTS, NJ 07922	Â	Â	Â Chief Scientific Officer	Â

## Signatures

/s/ Gregory  
Conn, Ph.D. 03/25/2019

\_\_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).

(1) Stock Option fully vested in accordance with its terms.

(2) All unvested outstanding options of PDS Biotechnology Corporation were accelerated upon the effectiveness of the merger between Edge Therapeutics, Inc. and PDS Biotechnology Corporation and therefore the Stock Option is fully vested and immediately exercisable.

(3) Stock Option was fully vested on 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.

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