SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this box if no longer subject to
Section 16. Form 4 or Form 5
obligations may continue. See
Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

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1	ddress of Reporting <u>HARRY JR</u>	Person*	2. Issuer Name and Ticker or Trading Symbol <u>Celldex Therapeutics, Inc.</u> [CLDX]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director 10% Owner				
1	(First) DEX THERAPEU	(Middle) JTICS, INC.	3. Date of Earliest Transaction (Month/Day/Year) 06/15/2017	Officer (give title Other (specify below) below)				
53 FRONTAGE ROAD			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)				
(Street) HAMPTON	NJ	08827		X Form filed by One Reporting Person Form filed by More than One Reporting Person				
(City)	(State)	(Zip)						

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)	Code (4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code V		Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(11.541 4)
Common Stock, par value \$0.001 per share	06/15/2017		Α		10,000	Α	(1)	41,916	D	

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (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)		n 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)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)		Date Exercisable	Expiration Date	Title	Amount or Number of Shares		(Instr. 4)		
Non- Qualified Stock Option (right to buy) ⁽²⁾	\$2.32	06/15/2017		A		15,000		06/15/2018 ⁽³⁾	06/15/2027	Common Stock	15,000	\$0	15,000	D	

Explanation of Responses:

1. On June 15, 2017, the Company awarded 10,000 shares of Company common stock as an annual equity grant in the form of restricted stock awards under the Celldex Therapeutics, Inc. 2008 Stock Option Plan subject to time-based forfeiture restrictions.

2. Represents option granted by the Issuer pursuant to its 2008 Stock Option and Incentive Plan.

3. Such option vests in three equal annual installments beginning June 15, 2018.

/s/ Avery W. Catlin, attorney in 06/16/2017

** Signature of Reporting Person

fact for Harry H. Penner, Jr.

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

* 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).

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.

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