

# CELLDEX THERAPEUTICS, INC.

# Reported by **DAVIS THOMAS ANDREW**

### FORM 4

(Statement of Changes in Beneficial Ownership)

### Filed 06/16/17 for the Period Ending 06/15/17

Address 53 FRONTAGE ROAD

**SUITE 220** 

HAMPTON, NJ 08827

Telephone 908-200-7500

CIK 0000744218

Symbol CLDX

SIC Code 2835 - In Vitro and In Vivo Diagnostic Substances

Industry Biotechnology & Medical Research

Sector Healthcare

Fiscal Year 12/31





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

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

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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 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person *					2. Issuer Name and Ticker or Trading Symbol							ing Sym	bol		5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
Davis Thom	as Andre	·w			Cel	llde	x The	erap	euti	ics, I	nc.	[ CLD	<b>X</b> ]		,	10	n/ 0		
(Last)	(Last) (First) (Middle)				3. Date of Earliest Transaction (MM/DD/YYYY)							I/DD/YYY	Y)	Director  X Officer (s	rive title belo		% Owner Other (speci	fv below)	
C/O CELLI									6/1	5/20	17			Executive VI			(-1	, ,	
INC., 53 FR	ONTAG	E ROAD	)																
	(Stre	eet)			4. If	î Am	nendme	nt, D	ate C	)rigina	al Fil	led (MM/I	OD/YYYY)	6. Individual	or Joint/G	roup Filing	Check Appl	icable Line)	
HAMPTON	,													X Form filed by		rting Person One Reporting P	erson		
(C	ity) (Sta	ite) (Zij	p)											r orm med by	wore than c	one resporting i	CISOII		
			Table I	- Non-l	Deri	vati	ve Secu	ıriti	es Ac	quire	d, D	isposed	of, or Be	neficially Own	ed				
1. Title of Security (Instr. 3) 2. Trans. E			E	ate 2A. Deemed Execution Date, if any		3. Trans. Code (Instr. 8)			4. Securities Acquor Disposed of (D) (Instr. 3, 4 and 5)		b) ` [1	5. Amount of Securi Following Reported (Instr. 3 and 4)			Ownership of Ind Form: Benef Direct (D) Owner	7. Nature of Indirect Beneficial Ownership			
								C	ode	v	Amou	(A) count (D)					or Indirect (I) (Instr. 4)	(Instr. 4)	
	Tab	le II - Deri	ivative S	Securiti	es B	enef	ficially	Owi	ned (	e.g. ,	puts	s, calls, v	varrants	, options, conve	rtible sec	urities)			
1. Title of Derivate Security (Instr. 3)	Conversion or Exercise Price of Derivative	Date E	3A. Deem Execution Date, if an	Code	e D r. 8) A D				1			Underlying Security	Derivative Security (Instr. 5)	derivative Securities Beneficially Owned	Security:	Beneficial			
	Security			Co	de	v	(A)			Date Exercis		Expiration Date	Title	Amount or Number of Shares	_	Following Reported Transaction(s) (Instr. 4)	Direct (D) or Indirect (I) (Instr. 4)		
Incentive Stock Option (right to buy) (1)	\$2.32	6/15/2017		A			150000			6/15/20		6/15/2027	Common Stock	n 150000	\$0.00	150000	D		

#### **Explanation of Responses:**

- (1) Represents option granted by the Issuer pursuant to its 2008 Stock Option and Incentive Plan.
- (2) 25% vest on June 15, 2018 and the remainder vest quarterly (in equal amounts) over the subsequent 12 quarters.

#### **Reporting Owners**

Reporting Owner Name / Address	Relationships						
Reporting Owner Name / Address	Director	10% Owner	Officer	Other			
Davis Thomas Andrew							
C/O CELLDEX THERAPEUTICS, INC.			Executive VP & CMO				
53 FRONTAGE ROAD		Executive vr & C					
HAMPTON, NJ 08827							

#### **Signatures**

/s/ Avery W. Catlin, attorney in fact for Thomas A. Davis	6/16/201
**Signature of Reporting Person	Date

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 control number.