

Humeau Laurent
Form 3
March 12, 2019

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 Humeau Laurent

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

03/08/2019

3. Issuer Name **and** Ticker or Trading Symbol

INOVIO PHARMACEUTICALS, INC. [INO]

4. Relationship of Reporting
Person(s) to Issuer

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

(Check all applicable)

____ Director ____ 10% Owner

☒ Officer ____ Other
(give title below) (specify below)

Chief Scientific Officer

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting
Person

____ Form filed by More than One
Reporting Person

C/O INOVIO
PHARMACEUTICALS,
INC.,Â 6769 MESA RIDGE RD.

(Street)

SAN DIEGO,Â CAÂ 92121

(City)

(State)

(Zip)

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

22,201

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: Humeau Laurent - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Restricted Stock Unit	Â <u>(1)</u>	03/08/2029 ⁽¹⁾	Common Stock	2,666	\$ <u>(1)</u>	D	Â
Restricted Stock Unit	Â <u>(2)</u>	03/10/2027 ⁽²⁾	Common Stock	5,624	\$ <u>(2)</u>	D	Â
Restricted Stock Unit	Â <u>(3)</u>	03/05/2028	Common Stock	53,133	\$ <u>(3)</u>	D	Â
Common Stock Option	Â <u>(4)</u>	01/06/2024	Common Stock	20,000	\$ 10	D	Â
Common Stock Option	Â <u>(4)</u>	03/05/2025	Common Stock	25,000	\$ 7.56	D	Â
Common Stock Option	Â <u>(4)</u>	03/09/2026	Common Stock	18,000	\$ 7.02	D	Â
Common Stock Option	Â <u>(4)</u>	03/10/2027	Common Stock	13,750	\$ 6.68	D	Â
Common Stock Option	Â <u>(4)</u>	03/05/2018	Common Stock	126,500	\$ 4.29	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Humeau Laurent C/O INOVIO PHARMACEUTICALS, INC. 6769 MESA RIDGE RD. SAN DIEGO, CA 92121	Â	Â	Â Chief Scientific Officer	Â

Signatures

/s/ Laurent
Humeau

03/12/2019

 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) Each restricted stock unit represents a contingent right to receive one share of common stock. The 2,666 restricted stock vested on March 9, 2019.

(2) Each restricted stock unit represents a contingent right to receive one share of common stock. The vesting schedule for the 5,624 restricted stock units is as follows: 2,812 shares vested on March 10, 2019; 2,812 shares will vest on March 10, 2020. Vested restricted stock units can be settled in shares of common stock, cash or a combination of both.

(3)

Edgar Filing: Humeau Laurent - Form 3

Each restricted stock unit represents a contingent right to receive one share of common stock. The vesting schedule for the 53,133 restricted stock units is as follows: 26,567 shares will vest on March 5, 2020; 26,566 shares will vest on March 5, 2021. Vested restricted stock units can be settled in shares of common stock, cash or a combination of both.

- The common stock options will vest over a period of three years, with 25% of the shares underlying the option vesting immediately, and
- (4) 25% on the first, second, and third anniversaries of the date of grant. The expiration date of this option reported in the table is the day of the tenth anniversary of the grant date of the option.

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.