AmpliPhi Biosciences Corp Form 3

February 18, 2014

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

**OMB APPROVAL** 

**OMB** Number:

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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 \*

Young Philip J

(Last)

(First) (Middle)

Statement

(Month/Day/Year)

02/18/2014

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

AmpliPhi Biosciences Corp [APHB]

4870 SADLER ROAD SUITE

300

(Street)

4. Relationship of Reporting

Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

(Check all applicable)

President and CEO

\_X\_ Director \_X\_\_ Officer

10% Owner Other (give title below) (specify below)

6. Individual or Joint/Group Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

GLEN ALLEN, VAÂ 23060

(City) (State) (Zip)

1. Title of Security (Instr. 4)

2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership

Form: Direct (D)

Table I - Non-Derivative Securities Beneficially Owned

4. Nature of Indirect Beneficial

Ownership (Instr. 5)

or Indirect (I) (Instr. 5)

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

SEC 1473 (7-02)

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Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security 2. Date Exercisable and (Instr. 4)

**Expiration Date** (Month/Day/Year)

3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)

Conversion or Exercise Price of

5. Ownership Form of Derivative

6. Nature of Indirect Beneficial

Ownership

(Instr. 5)

Date Expiration Exercisable Date

Title

Amount or Number of Shares

Derivative Security

Security: Direct (D) or Indirect

(I)

						(Instr. 5)	
Stock Option (right to buy)	(1)	10/23/2022	Common Stock	8,400,000	\$ 0.2	D	Â
Stock Option (right to buy)	(2)	06/25/2023	Common Stock	11,600,000	\$ 0.16	D	Â

## **Reporting Owners**

Reporting Owner Name / Address	Relationships					
reporting o more runte, requires	Director	10% Owner	Officer	Other		
Young Philip J 4870 SADLER ROAD SUITE 300 GLEN ALLEN, Â VAÂ 23060	ÂX	Â	President and CEO	Â		

## **Signatures**

/s/ Philip J.
Young

\*\*Signature of Reporting Person

O2/18/2014

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).
- The shares underlying this option shall vest and become exercisable in accordance with the following schedule: 6.25% of the total number of shares shall vest and become exercisable on the third month anniversary of the date of grant and 6.25% of the total number of shares shall vest and become exercisable on the first business day of each three (3) month period thereafter.
- The shares underlying this option shall vest and become exercisable in accordance with the following schedule: 3,828,000 shares shall be (2) vested on the date of grant, and the remaining shares shall vest monthly at the rate of 1/36 of the remaining shares per month on each monthly anniversary of the date of the grant.

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.

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