SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

## **INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES**

OMB APPROVAL

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

| Langren Carl W.  | Z.     Requiring Statement<br>(Month/Day/Year)                 |                    | 3. Issuer Name and Ticker or Trading Symbol <u>NEWLINK GENETICS CORP</u> [ (NLNK) ]  |  |                                    |   |   |   |
|--|--|--------------------|--|--|------------------------------------|---|---|---|
| (Last) (First) (Middle)<br>C/O NEWLINK GENETICS<br>CORPORATION<br>2503 SOUTH LOOP DR., SUITE 5100                            |  |                    | 4. Relationship of Reporting Perso<br>(Check all applicable)<br>Director<br>X Officer (give title<br>below)<br>Principal Accountin | 10% Owner<br>Other (specify<br>below)  |                                    | <ul> <li>5. If Amendment, Date of Original Filed<br/>(Month/Day/Year)</li> <li>6. Individual or Joint/Group Filing (Check<br/>Applicable Line)</li> <li>X Form filed by One Reporting Person</li> </ul> |   |   |
| (Street)<br>AMES IA 50010  |  |                    |  |  |                                    |   | Form filed by<br>Reporting Pe               | / More than One<br>erson                                    |
| (City) (State) (Zip)   |  |                    |  |  |                                    |   |   |   |
| Table I - Non-Derivative Securities Beneficially Owned   |  |                    |  |  |                                    |   |   |   |
| 1. Title of Security (Instr. 4)  |  |                    | Amount of Securities<br>eneficially Owned (Instr. 4)   |  |                                    | 4. Nature of Indirect Beneficial Ownership<br>(Instr. 5)  |   |   |
| Common Stock   |  |                    | 56,991 D   |  |                                    |   |   |   |
| Common Stock   |  |                    | 8,429 I  |  |                                    | By Pension Plan   |   |   |
| Common Stock   |  |                    | 8,429  | Ι                                      |                                    | By Spouse's Pension Plan  |   |   |
| Common Stock   |  |                    | 1,300  | I ]                                    |                                    | By Son  |   |   |
| 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<br>Expiration Date<br>(Month/Day/Year) |                    | 3. Title and Amount of Securities     Underlying Derivative Security (Instr. 4)  |  | 4.<br>Conversion<br>or Exercise    |   | 5.<br>Ownership<br>Form:                    | 6. Nature of Indirect<br>Beneficial Ownership<br>(Instr. 5) |
|  | Date<br>Exercisable  | Expiration<br>Date | Title  | Amount<br>or<br>Number<br>of<br>Shares | Price of<br>Derivative<br>Security |   | Direct (D)<br>or Indirect<br>(I) (Instr. 5) |   |
| Stock Option (Right to Buy)  | 12/14/2008 <sup>(1)</sup>                                      | 12/13/2017         | Common Stock   | 9,523                                  | 2.:                                | 1   | D   |   |
| Stock Option (Right to Buy)  | 03/03/2011 <sup>(2)</sup>                                      | 03/02/2020         | Common Stock   | 2,380                                  | 3.0                                | )7  | D   |   |
| Stock Option (Right to Buy)  | 01/21/2010 <sup>(1)</sup>                                      | 01/20/2019         | Common Stock   | 2,564                                  | 0.8                                | 8   | D   |   |
| Stock Option (Right to Buy)  | 04/14/2012 <sup>(2)</sup>                                      | 04/13/2021         | Common Stock   | 16,666                                 | 7                                  |   | D   |   |
| Stock Option (Right to Buy)  | 10/19/2012 <sup>(2)</sup>                                      | 10/18/2021         | Common Stock   | 23,809                                 | 7                                  |   | D   |   |
| Stock Option (Right to Buy)  | 01/19/2013 <sup>(2)</sup>                                      | 01/18/2022         | Common Stock   | 15,000                                 | 6.8                                | 37  | D   |   |
| Stock Option (Right to Buy)  | 01/14/2014 <sup>(2)</sup>                                      | 01/13/2023         | Common Stock   | 20,000                                 | 11.3                               | 79  | D   |   |

## Explanation of Responses:

1. Grant to the Reporting Person of a stock option under the 2009 Equity Incentive Plan (the "Plan"). The option vests over a five-year period, with 20% of such option vesting on the one-year anniversary of the vesting commencement date and the remaining 80% of such option vesting in equal monthly installments over the next 48 months, provided that at the relevant vesting dates the Reporting Person's continuous service to the Issuer has not been terminated as defined in or as determined under the Plan. The option expires ten years after the date of grant.

2. Grant to the Reporting Person of a stock option under the 2009 Equity Incentive Plan (the "Plan"). The option vests over a four-year period, with 25% of such option vesting on the one-year anniversary of the vesting commencement date and the remaining 75% of such option vesting in equal monthly installments over the next 36 months, provided that at the relevant vesting dates the Reporting Person's continuous service to the Issuer has not been terminated as defined in or as determined under the Plan. The option expires ten years after the date of grant.

**Remarks:** 

## /s/ Gordon Link, by power of 11/18/2013 attornev

Date

\*\* Signature of Reporting Person 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 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).

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.

## **POWER OF ATTORNEY**

Know all by these presents, that the undersigned hereby constitutes and appoints Charles J. Link, Jr., Gordon H. Link, Mark Wiranowski and James C.T. Linfield, or any one of them signing singly, and with full power of substitution, the undersigned's true and lawful attorney-in-fact to:

- (1) execute for and on behalf of the undersigned, in the undersigned's capacity as an officer, director and/or more than 10% stockholder of NewLink Genetics Corporation (the "Company"), Forms 3, 4, and 5 (including any amendments thereto) in accordance with Section 16(a) of the Securities Exchange Act of 1934 and the rules thereunder;
- (2) do and perform any and all acts for and on behalf of the undersigned which may be necessary or desirable to complete and execute any such Form 3, 4, or 5, complete and execute any amendment or amendments thereto, and timely file such form with the SEC and any stock exchange or similar authority; and
- (3) take any other action of any type whatsoever in connection with the foregoing which, in the opinion of such attorney-infact, may be of benefit to, in the best interest of, or legally required by, the undersigned, it being understood that the documents executed by such attorney-in-fact on behalf of the undersigned pursuant to this Power of Attorney shall be in such form and shall contain such terms and conditions as such attorney-in-fact may approve in such attorney-in-fact's discretion.

The undersigned hereby grants to each such attorney-in-fact full power and authority to do and perform any and every act and thing whatsoever requisite, necessary, or proper to be done in the exercise of any of the rights and powers herein granted, as fully to all intents and purposes as the undersigned might or could do if personally present, with full power of substitution or revocation, hereby ratifying and confirming all that such attorney-in-fact, or such attorney-in-fact's substitute or substitutes, shall lawfully do or cause to be done by virtue of this power of attorney and the rights and powers herein granted. The undersigned acknowledges that the foregoing attorneys-in-fact, in serving in such capacity at the request of the undersigned, are not assuming, nor is the Company assuming, any of the undersigned's responsibilities to comply with Section 16 of the Securities Exchange Act of 1934.

This Power of Attorney shall remain in full force and effect until the earliest to occur of (a) the undersigned is no longer required to file Forms 3, 4, and 5 with respect to the undersigned's holdings of and transactions in securities issued by the Company, (b) revocation by the undersigned in a signed writing delivered to the foregoing attorneys-in-fact, or (c) as to any attorney-in-fact individually, until such attorney-in-fact shall no longer be employed by the Company or Cooley LLP, as applicable.

IN WITNESS WHEREOF, the undersigned has caused this Power of Attorney to be executed as of this 7th day of November, 2013.

/s/ Carl W. Langren CARL W. LANGREN