

KIES PETER
Form 4
March 07, 2018

FORM 4

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

OMB APPROVAL

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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, 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 *
KIES PETER

2. Issuer Name and Ticker or Trading Symbol
INOVIO PHARMACEUTICALS, INC. [INO]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)
03/05/2018

____ Director
 Officer (give title below)
____ 10% Owner
____ Other (specify below)
CFO

**C/O INOVIO
PHARMACEUTICALS, INC., 6769
MESA RIDGE ROAD**

(Street)

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

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
____ Form filed by More than One Reporting Person

SAN DIEGO, CA 92121

(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)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)
				(A) or (D)	Price		
Common Stock	03/05/2018		M	8,333	A	11	55,381 D
Common Stock	03/05/2018		F(2)	3,407	D	\$ 4.29	51,974 D
Common Stock						4,500	I By Spouse

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

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SEC 1474 (9-02)

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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. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Underlying Security (Instr. 3 and 4)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title
Restricted Stock Unit	<u>(1)</u>	03/05/2018		M		8,333	<u>(1)</u> <u>(1)</u>	Common Stock
Common Stock Option	\$ 4.29	03/05/2018		A		126,500	03/05/2018 ⁽³⁾ 03/05/2028	Common Stock
Restricted Stock Unit	<u>(4)</u>	03/05/2018		A		82,700	<u>(4)</u> <u>(4)</u>	Common Stock

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

KIES PETER
C/O INOVIO PHARMACEUTICALS, INC.
6769 MESA RIDGE ROAD
SAN DIEGO, CA 92121

CFO

Signatures

Peter Kies 03/07/2018

 Signature of
Reporting Person

Date

Explanation of Responses:

* 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).

- Each restricted stock unit represents a contingent right to receive one share of common stock. The vesting schedule for the 25,000
- (1) restricted stock units was as follows: 8,334 shares vested on March 5, 2016; 8,333 shares vested on March 5, 2017; 8,333 shares vested on March 5, 2018. Vested units of restricted stock can be settled in shares of common stock, cash or a combination of both.
- (2) The transaction reported represents the withholding of shares by the issuer to satisfy the reporting person's tax withholding obligations in connection with the vesting and settlement of the restricted stock unit award reported in footnote (1) herein.
- (3) The vesting schedule for the 126,500 options is as follows: 31,625 shares vested on March 5, 2018; 31,625 shares will vest on March 5, 2019; 31,625 shares will vest on March 5, 2020; 31,625 shares will vest on March 5, 2021.

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- Each restricted stock unit represents a contingent right to receive one share of common stock. The vesting schedule for the 82,700
- (4) restricted stock units is as follows: 27,567 shares will vest on March 5, 2019; 27,567 shares will vest on March 5, 2020; 27,566 shares will vest on March 5, 2021. Vested units of restricted stock can be settled in shares of common stock, cash or a combination of both.

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.