Edgar Filing: PUMA BIOTECHNOLOGY, INC. - Form 3

PUMA BIOTECHNOLOGY, INC. Form 3 September 10, 2015 FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 OMB

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 * Statement PUMA BIOTECHNOLOGY, INC. [PBYI] Lo Steven (Month/Day/Year) 09/08/2015 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) C/O PUMA (Check all applicable) BIOTECHNOLOGY, INC., 10880 WILSHIRE 10% Owner Director BLVD., SUITE 2150 _X__ Officer Other

(Street)

LOS ANGI	ELES, CA	AÂ 90024			Person Form filed by More than One Reporting Person
(City)	(State)	(Zip)	Table I - Non-Deriv	ative Securit	ies Beneficially Owned
1.Title of Sect (Instr. 4)	urity		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)
Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.				SEC 1473 (7-0	2)
		•	nd to the collection of red 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	2. Date Exercisable and	3. Title and Amount of	4.	5.	6. Nature of Indirect
(Instr. 4)	Expiration Date	Securities Underlying	Conversion	Ownership	Beneficial Ownership
	(Month/Day/Year)	Derivative Security	or Exercise	Form of	(Instr. 5)
		(Instr. 4)	Price of	Derivative	
			Derivative	Security:	

OMB 3235-0104 Number: January 31, 2005

Estimated average burden hours per response... 0.5

(give title below) (specify below) Chief Commercial Officer

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

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

Edgar Filing: PUMA BIOTECHNOLOGY, INC. - Form 3

Date	Expiration	Title	Amount or	Security	Direct (D)
Exercisable	Date		Number of		or Indirect
			Shares		(I)
					(Instr. 5)

Reporting Owners

Reporting Owner Name / Address		Relationships				
		Director	10% Owner	Officer	Other	
Lo Steven C/O PUMA BIOTECHNOLOGY, INC. 10880 WILSHIRE BLVD., SUITE 2150 LOS ANGELES, CA 90024		Â	Â	Chief Commercial Officer	Â	
Signatures						
/s/ Steven Lo	09/10/2015					
****************	Data					

<u>**</u>Signature of Reporting Person Date

Explanation of Responses:

No securities are beneficially owned

* 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. 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.