Edgar Filing: DOUGLAS RICHARD - Form 4

DOUGLAS RIG Form 4	CHARD									
December 14, 2	2018									
FORM 4	4		CECU	DIFIED					PPROVAL	
	UNITED	UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549								
Check this b if no longer subject to Section 16. Form 4 or Form 5 obligations may continue See Instruction 1(b).	STATEN Filed pur e. Section 17(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 Resp	ponses)									
1. Name and Address of Reporting Person <u>*</u> DOUGLAS RICHARD			2. Issuer Name and Ticker or Trading Symbol NOVAVAX INC [NVAX]				5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
(Last) (First) (Middle) C/O NOVAVAX, INC., 20 FIRSTFIELD ROAD			3. Date of Earliest Transaction (Month/Day/Year) 12/13/2018				X_ Director 10% Owner Officer (give title Other (specify below) below)			
(Street) 4. If Amendment, Filed(Month/Day/Y					/Year) Applicable Line) _X_ Form filed by			oint/Group Filing(Check One Reporting Person More than One Reporting		
GATTHERSBU	JRG, MD 208	/8					Person			
(City)	(State)	(Zip)	Tat	ole I - Non-	Derivative	Securities A	Acquired, Disposed	of, or Beneficia	lly Owned	
	Fransaction Date onth/Day/Year)	2A. Deemo Execution any (Month/Da	Date, if	Code (Instr. 8)	4. Securit onAcquired Disposed (Instr. 3, 4 Amount	(A) or of (D)	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 Indirect Beneficial Ownership (Instr. 4)	
Reminder: Report	on a separate line	for each cl	ass of sec	urities bene	ficially own	ned directly	or indirectly.			
resininger, report	on a separate fine				Perso inforn requir	ns who rest nation cont ed to resp ys a curre	spond to the colle tained in this form ond unless the fo ntly valid OMB co	n are not rm	SEC 1474 (9-02)	

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5. Number of	6. Date Exercisable and	7. Title and Amount o
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transacti	orDerivative	Expiration Date	Underlying Securities
Security	or Exercise		any	Code	Securities	(Month/Day/Year)	(Instr. 3 and 4)

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(Instr. 3)	Price of Derivative Security	(M	Ionth/Day/Year)	(Instr.	8)	Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)					
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Share
Stock Option (Right to buy)	\$ 2.3	12/13/2018		А		90,000		12/13/2019 <u>(1)</u>	12/13/2028	Common Stock	90,000

Reporting Owners

Reporting Owner Name / Address		Relationsh		
L O	Director	10% Owner	Officer	Other
DOUGLAS RICHARD C/O NOVAVAX, INC. 20 FIRSTFIELD ROAD GAITHERSBURG, MD 20878	Х			
Signatures				
/s/ John A. Herrmann III, Attorney-in-Fact		12/14	4/2018	

Explanation of Responses:

**Signature of Reporting Person

- * 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).

Date

One hundred percent (100%) of the shares subject to this option grant under the Novavax, Inc. (the "Company") Amended and Restated (1) 2015 Stock Incentive Plan, as amended, will vest one (1) year from the December 13, 2018 grant date subject to continued service on the

Company's Board of Directors through the vesting date.

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.