

APPLIED DNA SCIENCES INC

Form 3

November 14, 2014

FORM 3**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated average
burden hours per
response... 0.5**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 *

Â Gray Karol

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

11/14/2014

3. Issuer Name **and** Ticker or Trading Symbol

APPLIED DNA SCIENCES INC [APDN]

4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

50 HEALTH SCIENCES DRIVE

(Street)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

Chief Financial Officer

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting
Person☐ Form filed by More than One
Reporting Person

STONY BROOK,Â NYÂ 11790

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. Title of Security
(Instr. 4)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)

Common Stock

1,646

D

Â

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

SEC 1473 (7-02)

**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 control number.****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
Expiration Date
(Month/Day/Year)Date
ExercisableExpiration
Date3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)

Title

Amount or
Number of4. Conversion
or Exercise
Price of
Derivative
Security5. Ownership
Form of
Derivative
Security:
Direct (D)
or Indirect6. Nature of Indirect
Beneficial Ownership
(Instr. 5)

Edgar Filing: APPLIED DNA SCIENCES INC - Form 3

				Shares		(I) (Instr. 5)	
Stock Option	Â (1)	11/29/2016	Common Stock	15,900	\$ 4.08	D	Â
Stock Option	Â (1)	12/09/2018	Common Stock	8,333	\$ 8.16	D	Â
Stock Option	Â (1)	11/29/2017	Common Stock	6,175	\$ 10.79	D	Â
Stock Option	Â (1)	10/16/2018	Common Stock	11,112	\$ 5.82	D	Â
Stock Option	Â (1)	12/09/2018	Common Stock	8,334	\$ 8.16	D	Â
Stock Option	Â (2)	04/13/2019	Common Stock	33,334	\$ 6.6	D	Â
Warrant	Â (1)	06/02/2015	Common Stock	1,456	\$ 8.25	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Gray Karol 50 HEALTH SCIENCES DRIVE STONY BROOK, NY 11790	Â	Â	Â Chief Financial Officer	Â

Signatures

/s/ Karol Kain
Gray 11/14/2014

**Signature of
Reporting Person

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).

(1) These options and warrants are fully vested and exercisable.

(2) 25% of these options will vest and become exercisable each anniversary over four years, commencing on April 14, 2014, the date of grant.

Â

Remarks:

ExhibitÂ ListÂ -Â ExhibitÂ 24-LimitedÂ PowerÂ ofÂ AttorneyÂ forÂ SectionÂ 16(a)Â Reporting.

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.