

APPLIED DNA SCIENCES INC

Form 3

November 14, 2014

FORM 3UNITED 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 Hayward James A

(Last) (First) (Middle)

50 HEALTH SCIENCES DRIVE

(Street)

STONY BROOK,Â NYÂ 11790

(City) (State) (Zip)

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 Issuer

(Check all applicable)

☒ Director ☒ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

Chairman, CEO and President

5. 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**Table I - Non-Derivative Securities Beneficially Owned**1. 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

1,527,160

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 Exercisable Expiration
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)

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				Shares		(I) (Instr. 5)	
Stock Option	Â (1)	05/26/2015	Common Stock	283,334	\$ 3	D	Â
Stock Option	Â (1)	06/30/2015	Common Stock	166,667	\$ 3.6	D	Â
Stock Option	Â (1)	07/10/2018	Common Stock	666,667	\$ 3.51	D	Â
Stock Option	Â (2)	10/16/2018	Common Stock	833,334	\$ 5.82	D	Â
Warrants	Â (3)	06/02/2015	Common Stock	3,638	\$ 8.25	D	Â
Warrants	Â (3)	09/01/2016	Common Stock	100,000	\$ 5.4	D	Â
Warrants	Â (3)	09/01/2016	Common Stock	6,667	\$ 5.4	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships				Other
	Director	10% Owner	Officer		
Hayward James A 50 HEALTH SCIENCES DRIVE STONY BROOK, NY 11790	Â X	Â X	Â Chairman, CEO and President	Â	

Signatures

/s/ Karol Kain Gray,
Attorney-in-Fact

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 are fully vested and exercisable.

(2) 25% of these options vest and become exercisable each anniversary over four years, commencing on October 17, 2013, the date of grant. Of these options, options to purchase 625,000 shares remain unvested.

(3) These warrants are fully exercisable.

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.

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