

NEWLINK GENETICS CORP
Form SC 13G/A
February 13, 2019

SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, DC 20549
SCHEDULE 13G

Under the Securities Exchange Act of 1934

(Amendment No. 7)*

NewLink Genetics Corporation

(Name of Issuer)

Common Stock

(Title of Class of Securities)

651511 107

(CUSIP Number)

December 31, 2018

(Date of Event Which Requires Filing of this Statement)

Check the appropriate box to designate the rule pursuant to which this Schedule is filed:

☐ Rule 13d-1(b)

☐ Rule 13d-1(c)

☒ Rule 13d-1(d)

*The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter the disclosures provided in a prior cover page.

The information required in the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange Act of 1934 ("Act") or otherwise subject to the liabilities of that section of the Act but shall be subject to all other provisions of the Act (however, see the Notes).

CUSIP
No. 13G 2 of 5
651511 Pages
107

Names of
Reporting
Persons

1. Charles J. Link,
Jr. M.D.

Check the
Appropriate
Box if a

2. Member of
a Group (see
instructions)

(a) ☐
(b) ☐

3. SEC USE ONLY
Citizenship or
Place of

4. Organization
United States of
America

Sole Voting
Power
2,466,639
shares of
Common
Stock
(includes
2,190,754

Number of
of 5. Common
Shares Stock issuable
Beneficially exercise
Owned of options
by exercisable
Each within 60
Reporting days of
Person December 31,
With: 2018).

Shared

6. Voting Power
0

7. Sole
Dispositive
Power

- 2,466,639
shares of
Common
Stock
(includes
2,190,754
shares of
Common
Stock issuable
upon exercise
of options
exercisable
within 60
days of
December 31,
2018).
Shared
Dispositive
8. Power
0
Aggregate
Amount
Beneficially
Owned by Each
Reporting Person
2,466,639 shares
of Common
Stock (includes
9. 2,190,754 shares
of Common
Stock issuable
upon exercise of
options
exercisable
within 60 days of
December 31,
2018).
Check if the
Aggregate
Amount in
Row (9) ☐
10. Excludes
Certain
Shares (see
instructions)
Percent of Class
Represented by
11. Amount in Row 9
6.3%(1)
12. Type of
Reporting Person

(see instructions)

IN

(1) This percentage is calculated based upon 37,251,220 shares of the Issuer's common stock outstanding as of December 31, 2018.

CUSIP No. 651511 107 Page 3 of 5 Pages

Item 1(a). Name of Issuer: NewLink Genetics Corporation

Item 1(b). Address of Issuer's Principal Executive Offices: 2503 South Loop Drive, Ames, Iowa 50010

Item 2(a). Name of Person Filing: Charles J. Link, Jr. M.D.

Item 2(b). Address of Principal Business Office or, if none, Residence: 2503 South Loop Drive, Ames, Iowa 50010

Item 2(c). Citizenship: United States of America

Item 2(d). Title of Class of Securities: Common Stock

Item 2(e). CUSIP Number: 651511 107

Item 3. If this statement is filed pursuant to §§240.13d-1(b), or 240.13d-2(b) or (c), check whether the person filing is a:

- (a) ☐ Broker or dealer registered under Section 15 of the Act (15 U.S.C. 78o);
- (b) ☐ Bank as defined in section 3(a)(6) of the Act (15 U.S.C. 78c);
- (c) ☐ Insurance company as defined in section 3(a)(19) of the Act (15 U.S.C. 78c);
- (d) ☐ Investment company registered under section 8 of the Investment Company Act of 1940 (15 U.S.C. 80a-8);
- (e) ☐ An investment adviser in accordance with §240.13d-1(b)(1)(ii)(E);
- (f) ☐ An employee benefit plan or endowment fund in accordance with §240.13d-1(b)(1)(ii)(F);
- (g) ☐ A parent holding company or control person in accordance with §240.13d-1(b)(1)(ii)(G);
- (h) ☐ A savings associations as defined in Section 3(b) of the Federal Deposit Insurance Act (12 U.S.C. 1813);
- (i) ☐ A church plan that is excluded from the definition of an investment company under section 3(c)(14) of the Investment Company Act of 1940 (15 U.S.C. 80a-3);
- (j) ☐ A non-U.S. institution in accordance with §240.13d-1(b)(1)(ii)(J);
- (k) ☐ Group, in accordance with §240.13d-1(b)(1)(ii)(K).

If filing as a non-U.S. institution in accordance with §240.13d-1(b)(1)(ii)(J), please specify the type of institution: _____

Item 4. Ownership

(a) Amount Beneficially Owned: 2,466,639 shares of Common Stock (includes 2,190,754 shares of Common Stock issuable upon exercise of options exercisable within 60 days of December 31, 2018).

(b) Percent of Class: 6.3%

(c) Number of shares as to which the person has:

(i) Sole power to vote or to direct the vote: 2,466,639 shares of Common Stock (includes 2,190,754 shares of Common Stock issuable upon exercise of options exercisable within 60 days of December 31, 2018).

(ii) Shared power to vote or to direct the vote: 0

(iii) Sole power to dispose or to direct the disposition of: 2,466,639 shares of Common Stock (includes 2,190,754 shares of Common Stock issuable upon exercise of options exercisable within 60 days of December 31, 2018).

(iv) Shared power to dispose or to direct the disposition of: 0

Item 5. Ownership of 5 Percent or Less of a Class

Not Applicable.

CUSIP No. 651511 107 Page 4 of 5 Pages

Item 6. Ownership of More than 5 Percent on Behalf of Another Person

Not Applicable.

Item 7. Identification and Classification of the Subsidiary Which Acquired the Security Being Reported on By the Parent Holding Company or Control Person.

Not Applicable.

Item 8. Identification and Classification of Members of the Group

Not Applicable.

Item 9. Notice of Dissolution of a Group

Not Applicable.

Item 10. Certification

Not Applicable. This statement is being filed pursuant to 13d-1(d).

CUSIP No. 651511 107 Page 5 of 5 Pages

SIGNATURE

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

February 13, 2019

Date

/s/ Charles J. Link, Jr. M.D.

Signature

Charles J. Link, Jr. M.D.

Name/Title