

CLEVELAND BIOLABS INC
Form 3
July 28, 2016

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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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 SALUCK RANDY S.

(Last) (First) (Middle)

C/O CLEVELAND BIOLABS,
INC.,Â 73 HIGH STREET

(Street)

BUFFALO,Â NYÂ 14203

(City) (State) (Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

07/21/2016

3. Issuer Name **and** Ticker or Trading Symbol
CLEVELAND BIOLABS INC [CBLI]

4. Relationship of Reporting
Person(s) to Issuer

5. If Amendment, Date Original
Filed(Month/Day/Year)

(Check all applicable)

☒ Director ☐ 10% Owner
☐ Officer ☐ Other
(give title below) (specify below)

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)

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

SEC 1473 (7-02)

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information contained in this form are not
required to respond unless the form displays a
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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 Expiration
Exercisable Date

3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)

Title Amount or
Number of
Shares

4. Conversion
or Exercise
Price of
Derivative
Security

5. Ownership
Form of
Derivative
Security:
Direct (D)
or Indirect
(I)

6. Nature of Indirect
Beneficial Ownership
(Instr. 5)

(Instr. 5)

Stock Option (right to buy)	Â <u>(1)</u>	04/22/2025	Common Stock	16,000	\$ 3.2	D	Â
Stock Option (right to buy)	Â <u>(1)</u>	06/11/2024	Common Stock	1,750	\$ 9.8	D	Â
Stock Option (right to buy)	Â <u>(1)</u>	04/19/2023	Common Stock	750	\$ 36.4	D	Â
Stock Option (right to buy)	Â <u>(1)</u>	06/14/2023	Common Stock	1,750	\$ 31.6	D	Â
Common Stock Warrants (right to buy)	Â <u>(1)</u>	10/24/2017	Common Stock	1,250	\$ 60	I	Held by Mortar Rock, L.P. <u>(2)</u>

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
SALUCK RANDY S. C/O CLEVELAND BIOLABS, INC. 73 HIGH STREET BUFFALO, NY 14203	Â X	Â	Â	Â

Signatures

/s/ C. Neil Lyons, Attorney-in-fact for Randy Saluck

07/28/2016

 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) The holder of this security may exercise it at any time.

(2) Mr. Saluck is a managing member of Mortar Rock Capital Management, LLC, which manages Mortar Rock, L.P.

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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