

TG THERAPEUTICS, INC.  
Form 4  
January 04, 2017

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**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 Responses)

1. Name and Address of Reporting Person \*  
**WEISS MICHAEL S**

(Last) (First) (Middle)

2 GANSEVOORT STREET, 9TH FLOOR

(Street)

NEW YORK, NY 10014

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
**TG THERAPEUTICS, INC. [TGTX]**

3. Date of Earliest Transaction  
(Month/Day/Year)  
**12/30/2016**

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
**CEO and President**

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 Acquired, Disposed of, or Beneficially Owned**

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	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)
Common Stock (Restricted)	01/01/2017		D	(A) or (D) Price	3,381,866 (1) D \$ 0 6,073,796 (2) D		
Common Stock (Restricted)	01/01/2017		A	(A) or (D) Price	2,960,000 (3) A \$ 0 9,033,796 I		See Note 4 (4)
Common Stock (Restricted)	01/01/2017		A	(A) or (D) Price	418,371 (5) A \$ 0 9,452,167 D		
Common Stock	12/30/2016		A	(A) or (D) Price	693,750 (6) A \$ 0 10,145,917 I		See Note 4 (4)

(Restricted)

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

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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 Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned (Instr. 5)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
WEISS MICHAEL S 2 GANSEVOORT STREET 9TH FLOOR NEW YORK, NY 10014	X	X	CEO and President	

## Signatures

/s/ Michael Weiss  
01/04/2017

\*\*Signature of Reporting Person                      Date

## Explanation of Responses:

- \* 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).
- (1) Mr. Weiss forfeited the shares pursuant to an amendment to his employment agreement effective as of January 1, 2017. Included in Mr. Weiss' beneficial ownership are 4,499,560 shares of Common Stock and 410,450 warrants to purchase Common Stock at \$2.48, exercisable through February 24, 2017 issued to Opus Point Partners, LLC, of which Mr. Weiss is a co-founder, managing partner, and principal and beneficially owns a 50% interest.

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- (3) Represents shares of restricted stock which vest based on certain market capitalization milestones.
- (4) The shares are held by Caribe BioAdvisors, LLC, of which Mr. Weiss is the sole member.
- (5) 375,000 shares vest on December 1, 2018 and 43,371 shares vest on December 1, 2019.

- Reflects an annual grant of restricted stock pursuant to Mr. Weiss' employment agreement to be held by Caribe BioAdvisors, LLC. The
- (6) restricted shares will vest according to the following schedule: 25% on January 1, 2018; 25% on January 1, 2019; and 50% on the date that the Company's Market Capitalization is \$100 million greater than the Market Capitalization on December 31, 2016.

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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