

SHAMASH YACOV A

Form 4

October 17, 2018

**FORM 4****UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

OMB APPROVAL

OMB Number: 3235-0287

Expires: January 31, 2005

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 \*  
SHAMASH YACOV A

2. Issuer Name and Ticker or Trading  
Symbol  
APPLIED DNA SCIENCES INC  
[APDN]

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

(Last) (First) (Middle)

50 HEALTH SCIENCES DRIVE

(Street)

STONY BROOK, NY 11790

(City) (State) (Zip)

3. Date of Earliest Transaction  
(Month/Day/Year)  
10/17/2018

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

☒ Director ☐ 10% Owner  
☐ Officer (give title below) ☐ Other (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 Acquired, Disposed of, or Beneficially Owned**

| 1. Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|----------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-------------------------------------------------------------------|
|                                       |                                         |                                                             |                                      | (A)<br>or<br>(D)                                                           | Code V Amount Price                                                                                                |                                                                      |                                                                   |

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

**Persons who respond to the collection of  
information contained in this form are not  
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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<br>Derivative<br>Security | 2. Conversion<br>or Exercise | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any | 4. Transaction<br>Code | 5. Number of<br>Derivative<br>Securities Acquired | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and Amount<br>Underlying Security<br>(Instr. 3 and 4) |
|---------------------------------------|------------------------------|-----------------------------------------|-----------------------------------------|------------------------|---------------------------------------------------|----------------------------------------------------------------|----------------------------------------------------------------|
|---------------------------------------|------------------------------|-----------------------------------------|-----------------------------------------|------------------------|---------------------------------------------------|----------------------------------------------------------------|----------------------------------------------------------------|

## Edgar Filing: SHAMASH YACOV A - Form 4

| (Instr. 3)                           | Price of<br>Derivative<br>Security | (Month/Day/Year) | (Instr. 8)       | (A) or Disposed of<br>(D)<br>(Instr. 3, 4, and 5) |        |        |                     |                           |                 |                         |  |
|--------------------------------------|------------------------------------|------------------|------------------|---------------------------------------------------|--------|--------|---------------------|---------------------------|-----------------|-------------------------|--|
|                                      |                                    |                  | Code             | V                                                 | (A)    | (D)    | Date<br>Exercisable | Expiration Date           | Title           | Am<br>or<br>Nur<br>of S |  |
| Stock<br>Option<br>(right to<br>buy) | \$ 5.82                            | 10/17/2018       | D <sup>(1)</sup> |                                                   |        | 15,186 | <sup>(1)</sup>      | 10/17/2018 <sup>(1)</sup> | Common<br>Stock | 15.                     |  |
| Stock<br>Option<br>(right to<br>buy) | \$ 5.82                            | 10/17/2018       | A <sup>(1)</sup> |                                                   | 15,186 |        | <sup>(1)</sup>      | 10/17/2023                | Common<br>Stock | 15.                     |  |

## Reporting Owners

| Reporting Owner Name / Address                                       | Relationships |           |         |       |
|----------------------------------------------------------------------|---------------|-----------|---------|-------|
|                                                                      | Director      | 10% Owner | Officer | Other |
| SHAMASH YACOV A<br>50 HEALTH SCIENCES DRIVE<br>STONY BROOK, NY 11790 | X             |           |         |       |

## Signatures

/s/ Beth Jantzen,  
Attorney-in-Fact

10/17/2018

\_\_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).

The two reported transactions involve an amendment of an outstanding option to extend the expiration date of such option from October (1) 17, 2018 to October 17, 2023, resulting in the deemed cancelation of the "old" option and the grant of a replacement option. The option was originally granted on October 17, 2013 and provided for immediate vesting upon date of grant.

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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