

Aldeyra Therapeutics, Inc.
Form 3
May 01, 2014

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 YOUNG SCOTT

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

05/01/2014

3. Issuer Name and Ticker or Trading Symbol
Aldeyra Therapeutics, Inc. [ALDX]

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)

Chief Operating Officer

C/O ALDEYRA
THERAPEUTICS, INC., Â 15
NEW ENGLAND EXECUTIVE
PARK

(Street)

BURLINGTON, Â MA Â 01803

(City)

(State)

(Zip)

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)

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)

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

4. Conversion or Exercise Price of Derivative

5. Ownership Form of Derivative Security:

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

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Option (Right to Buy)	Â (1)	06/21/2022	Common Stock	28,695	\$ 3.24	D	Â
Employee Stock Option (Right to Buy)	Â (2)	09/07/2023	Common Stock	96,042	\$ 0.552	D	Â
Employee Stock Option (Right to Buy)	Â (3)	09/07/2023	Common Stock	48,021	\$ 0.552	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
YOUNG SCOTT C/O ALDEYRA THERAPEUTICS, INC. 15 NEW ENGLAND EXECUTIVE PARK BURLINGTON, MA 01803	Â	Â	Â Chief Operating Officer	Â

Signatures

/s/ Scott L.
Young

05/01/2014

**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) Exercisable over four years of service following January 1, 2012, with 25% vesting upon completion of 12 months of service and in 36 equal monthly installments thereafter.
- (2) Exercisable over four years of service following April 15, 2012, with 25% vesting upon completion of 12 months of service and in 36 equal monthly installments thereafter.
- (3) Exercisable with respect to 16,007 shares upon each of the effective date of the initial public offering, the date on which the Issuer's closing market capitalization equals at least \$55.0 million for 10 consecutive trading days and the date on which the Issuer's closing market capitalization equals at least \$70.0 million for 10 consecutive trading days, provided that Mr. Young remains in continuous service with the Issuer through each such date.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.