SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

| 1. Name and Add Erlander Ma | | g Person [*] | 2. Date of Event Requiring Statement (Month/Day/Year) 08/21/2015 | | 3. Issuer Name and Ticker or Trading Symbol <u>Trovagene, Inc.</u> [TROV] | | | | | |
|--|---------|-----------------------|---|--------------------|--|--|---------------------------------|---|---|--|
| (Last) (First) (Middle) C/O TROVAGENE, INC., | | | | | 4. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner | | r (Mor | 5. If Amendment, Date of Original Filed (Month/Day/Year) | | |
| 11055 FLINTKOTE AVENUE, SUITE A | | | | | X Officer (give title below) | Other (spe below) | ² 0. III | 6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person | | |
| (Street) SAN DIEGO CA 92121 | | | | | Chief Scientific (| Officer | X | | | |
| (City) | (State) | (Zip) | | | | | | | | |
| Table I - Non-Derivative Securities Beneficially Owned | | | | | | | | | | |
| 1. Title of Security (Instr. 4) | | | | | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownersh Form: Direc or Indirect ((Instr. 5) | t (D) (Instr | Nature of Indirect Beneficial Ownership str. 5) | | |
| 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 | 5. Ownership Form: | 6. Nature of Indirect Beneficial Ownership (Instr. 5) | |
| | | | Date Exercisable | Expiratior Date | n Title | Amount or Number of Shares | Derivative | Direct (D) or Indirect (I) (Instr. 5) | | |
| Stock Options | | (1) | 09/13/2022 | 2 Common Stock | 5,000 | 2.84 | D | | | |
| Stock Options | | (2) | 12/10/2022 | 2 Common Stock | 10,000 | 4.87 | D | | | |
| Stock Options | | (3) | 01/28/2023 | 3 Common Stock | 200,000 | 7.04 | D | | | |
| Stock Options | | | (4) | 12/11/2023 | 3 Common Stock | 100,000 | 5.53 | D | | |
| Stock Options | | | (5) | 07/16/2024 | Common Stock | 200,000 | 3.29 | D | | |
| Stock Options | | | (6) | 12/11/2024 | 4 Common Stock | 60,000 | 4.39 | D | | |

Explanation of Responses:

1. The Stock Options vest in accordance with the following schedule: 1,667 options vest on each of 9/13/2013 and 2014 and 1,666 vest on 9/13/2015.

2. The Stock Options vest in accordance with the following schedule: 3,333 options vest on each of 12/10/2013 and 2014 and 3,334 vest on 12/10/2015.

3. The Stock Options vest in accordance with the following schedule: 50,000 options vest on each of 1/28/2014, 2015, 2016 and 2017.

4. The Stock Options vest in accordance with the following schedule: 25,000 options vest on each of 12/11/2014, 2015, 2016 and 2017.

5. The Stock Options vest in accordance with the following schedule: 50,000 options vest on each of 7/16/2015, 2016, 2017 and 2018.

6. The Stock Options vest in accordance with the following schedule: 15,000 options vest on each of 12/11/2015, 2016, 2017 and 2018.

<u>/s/ Mark Erlander</u>
** Signature of Reporting Person

08/24/2015

Signature of Reporting Person

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

* 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.