SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL 3235-0287 OMB Number: Estimated average burden

0.5

hours per response:

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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

1	dress of Reporting	g Person [*]	2. Issuer Name and Ticker or Trading Symbol ADMA BIOLOGICS, INC. [ADMA]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
<u>Grossman Jerrold B</u>				X Director 10% Owner					
				Officer (give title Other (specify					
	(First) BIOLOGICS, I	(Middle) NC.	3. Date of Earliest Transaction (Month/Day/Year) 02/28/2020	below) below)					
465 STATE ROUTE 17			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)					
(Street)			03/03/2020	X Form filed by One Reporting Person					
RAMSEY	NJ	07446		Form filed by More than One Reporting Person					
(City)	(State)	(Zip)							

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. Transa Code (8)					5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code V		Amount (A) or (D)		Price	Reported Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	02/28/2020		A		7,500 ⁽¹⁾	A	\$ <mark>0</mark>	140,364 ⁽²⁾	D	
Common Stock								22,857	I	See Footnote ⁽³⁾
Common Stock								31,381	Ι	See Footnote ⁽⁴⁾
Common Stock								38,294	I	See Footnote ⁽⁵⁾
Common Stock								175	I	See Footnote ⁽⁶⁾

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

	(e.g., puis, cais, warans, options, convertible securities)															
De Se	Title of crivative curity str. 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. Transa Code (8)		of		6. Date Exerc Expiration Da (Month/Day/\	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
					Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

Explanation of Responses:

1. These shares represent restricted stock units ("RSUs"). Subsequent to the filing of the initial Form 4 by the Reporting Person on March 3, 2020, the Board of Directors of the Issuer corrected the vesting schedule of the RSUs. The RSUs will vest in two equal installments, on the six- and 12-month anniversaries of the grant, becoming fully vested on the one-year anniversary of the grant, subject to the reporting person's continued service as of the applicable vesting date, and will be settled into common stock upon vesting.

2. Includes (i) 7,500 RSUs granted on February 28, 2020 and reported on this Form 4, subject to vesting as set forth in footnote (1) and will be settled into common stock upon vesting; and (ii) 132,864 shares of common stock owned by the reporting person.

3. These shares are owned by Brookwood LLC ("Brookwood"). The reporting person is the managing member of Brookwood.

4. These shares are owned by the Jerrold Grossman 2019 Irrevocable Trust, of which Dr. Grossman serves as investment trustee.

5. These shares are owned by Genesis Foundation Inc. ("Genesis"). The reporting person is the President of Genesis.

6. These shares are owned by the reporting person's wife.

/s/ Dr. Jerrold B. Grossman,

by Brian Lenz as Attorney-in- 05/01/2020 fact

** Signature of Reporting Person Date

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 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).

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.