SEC Form 4

FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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 Instruction 1(b). 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer 1. Name and Address of Reporting Person* (Check all applicable) ADMA BIOLOGICS, INC. [ADMA] Grossman Jerrold B X Director 10% Owner Officer (give title Other (specify 3. Date of Earliest Transaction (Month/Day/Year) (First) (Middle) below) below) (Last) 08/12/2020 C/O ADMA BIOLOGICS, INC. 465 STATE ROUTE 17 4. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable Line) (Street) х Form filed by One Reporting Person 07446 RAMSEY NJ Form filed by More than One Reporting Person (City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

Table 1- Non-Derivative Securities Acquired, Disposed of, of Deriencially 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)			s Acquire f (D) (Inst	d (A) or r. 3, 4 and	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	08/12/2020		Р		200	A	\$2.87	140,564 ⁽¹⁾	D			
Common Stock	08/12/2020		Р		5,000	A	\$2.89	145,564(1)	D			
Common Stock	08/12/2020		Р		5,000	A	\$2.895	150,564 ⁽¹⁾	D			
Common Stock								22,857	I	See Footnote ⁽²⁾		
Common Stock								31,381	I	See Footnote ⁽³⁾		
Common Stock								38,294	Ι	See Footnote ⁽⁴⁾		
Common Stock								175	I	See Footnote ⁽⁵⁾		

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. Transa Code (8)				6. Date Exerc Expiration Da (Month/Day/Y	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. Includes 7,500 RSUs granted on February 28, 2020, which 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. These shares are owned by Brookwood LLC ("Brookwood"). The reporting person is the managing member of Brookwood.

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

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

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

/s/ Dr. Jerrold B. Grossman,

by Brian Lenz as Attorney-in- 08/13/2020 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.