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ZIOPHARM ONCOLOGY INC

Form 3 June 12, 2013

UNITED STATES SECURITIES AND EXCHANGE COMMISSION FORM 3 Washington, D.C. 20549

OMB APPROVAL

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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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

SECURITIES

30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting

Person *

Lafond Kevin G

(Last)

(First)

(Middle)

Statement

(Month/Day/Year)

06/03/2013

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

ZIOPHARM ONCOLOGY INC [ZIOP]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

5. If Amendment, Date Original

Filed(Month/Day/Year)

C/O ZIOPHARM ONCOLOGY, INC., 1 FIRST AVE. PARRIS BLDG. #34, NAVY YARD

(Street)

Director _X__ Officer

10% Owner

Other (give title below) (specify below) Vice Pres., Treasurer, & CAO

6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person

Form filed by More than One Reporting Person

BOSTON. MAÂ 02129

(City) (State)

(Zip)

1. Title of Security (Instr. 4)

2. Amount of Securities Beneficially Owned

(Instr. 4)

3. Ownership 4. Nature of Indirect Beneficial Ownership

Form: Direct (D) or Indirect

Table I - Non-Derivative Securities Beneficially Owned

(Instr. 5)

Â

(I) (Instr. 5)

Common Stock

36,046 (1)

D

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

SEC 1473 (7-02)

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

1. Title of Derivative Security (Instr. 4)

Expiration Date (Month/Day/Year)

2. Date Exercisable and

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

5. 4. Conversion or Exercise

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

Price of Derivative Derivative Security:

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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) | (2) | 02/06/2019 | Common Stock | 3,334 | \$ 0.8 | D | Â |
| Employee Stock Option (Right to Buy) | (2) | 12/31/2019 | Common Stock | 11,667 | \$ 2.85 | D | Â |
| Employee Stock Option (Right to Buy) | (3) | 12/31/2020 | Common Stock | 25,000 | \$ 4.77 | D | Â |
| Employee Stock Option (Right to Buy) | (4) | 12/31/2022 | Common Stock | 20,000 | \$ 4.16 | D | Â |

Reporting Owners

| Reporting Owner Name / Address | | Relationships | | | | | |
|---|----------|---------------|------------------------------|------|--|--|--|
| 1 | Director | 10% Owner | Officer | Othe | | | |
| Lafond Kevin G C/O ZIOPHARM ONCOLOGY, INC. 1 FIRST AVE. PARRIS BLDG. #34, NAVY YARD BOSTON Â MAÂ 02129 | Â | Â | Vice Pres., Treasurer, & CAO | Â | | | |

Signatures

/s/ Kevin G.
Lafond

_**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) Includes 9,380 shares of restricted stock, of which 4,690 shares vest on each of 12/30/13 and 12/30/14.
- (2) Fully vested.
- (3) The option is vested with respect to 16,667 shares; the option vests with respect to the remaining 8,333 shares on 12/31/2013.
- (4) The option vests in three equal installments on 12/31/2013, 12/31/2014 and 12/31/2015.

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.

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