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

			0.0		of the investment company Act of	10.10				
1. Name and Address of Reporting Person* KIRK RANDAL J		2. Date of Event Requiring Statement (Month/Day/Year) 02/18/2014		3. Issuer Name and Ticker or Trading Symbol <u>AmpliPhi Biosciences Corp</u> [APHB]						
(Last) (First) (Middle) C/O THIRD SECURITY, LLC 1881 GROVE AVENUE				4. Relationship of Reporting Per (Check all applicable) Director > Officer (give title below)	rson(s) to Issuer 10% Owne Other (sper below)	r cify 6.	 5. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable Line) 			
(Street) RADFORD VA 24141				Delow)	Delow)		-	y One Reporting Person y More than One erson		
(City) (Stat	e) (Zip)									
Table I - Non-Derivative Securities Beneficially Owned										
1. Title of Security (Instr. 4)					2. Amount of Securities Beneficially Owned (Instr. 4)	Form: Direc	Form: Direct (D) (Instr. or Indirect (I)		ature of Indirect Beneficial Ownership r. 5)	
Common Stock					20,000,000	I	by	NRM VII Hold	RM VII Holdings ⁽¹⁾	
Common Stock					24,000,000	I	by	Intrexon Corpo	ration ⁽²⁾	
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. Conversi or Exerci	se Form:	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
			Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Price of Derivative Security	e Direct (D) or Indirect (I) (Instr. 5)		
Series B Convertible Preferred Stock			06/26/2013	(3)	Common Stock	21,428,570	(4)	I	by NRM VII Holdings ⁽¹⁾	
Warrant (right to buy)			06/26/2013	06/26/2018	Common Stock	5,357,142	0.14	Ι	by NRM VII Holdings ⁽¹⁾	
1. Name and Address of <u>KIRK RANDA</u>										
(Last) C/O THIRD SECU 1881 GROVE AVE	e)									
(Street) RADFORD	VA	24141								
(City)	(State)	(Zip)		_						
1. Name and Address of Reporting Person* <u>INTREXON CORP</u>										
(Last) (First) (Middle) C/O LEGAL DEPARTMENT										
20374 SENECA MEADOWS PARKWAY										
(Street) GERMANTOWN	1 MD 20876									
(City)	(State)	(Zip)								

Explanation of Responses:

1. Randal J. Kirk controls NRM VII Holdings I, LLC ("NRM VII Holdings"). Shares held by this entity may be deemed to be indirectly beneficially owned (as defined under Rule 13d-3 promulgated under the Exchange Act) by Mr. Kirk. Mr. Kirk disclaims beneficial ownership of such shares, except to the extent of any pecuniary interest therein.

2. Randal J. Kirk, directly and through certain affiliates, has voting and dispositive power over a majority of the outstanding capital stock of Intrexon Corporation. Mr. Kirk may therefore be deemed to have voting and dispositive power over the shares of the issuer owned by Intrexon Corporation. Shares held by Intrexon Corporation may be deemed to be indirectly beneficially owned (as defined under Rule 13d-3 promulgated under the Securities Exchange Act of 1934, as amended) by Mr. Kirk. Mr. Kirk disclaims beneficial ownership of such shares, except to the extent of any pecuniary interest therein.

3. Not applicable.

4. Pursuant to its terms, each share of Series B Convertible Preferred Stock is convertible into ten (10) shares of Common Stock.

Remarks:

<u>Randal J. Kirk</u> <u>Randal J. Kirk, CEO of</u> <u>Intrexon Corporation</u> 02/18/2014

02/18/2014

** 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 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.