POLARITYTE, INC.

Form 3

February 15, 2017

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

**OMB APPROVAL** 

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES** 

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 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting

Person \*

(Last)

A Mogford Jon

(First)

(Middle)

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

Statement

(Month/Day/Year)

02/08/2017

POLARITYTE, INC. [COOL]

(Check all applicable)

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

C/O POLARITYTE.

INC., 4041-T HADLEY ROAD

(Street)

\_X\_ Director Officer (give title below) (specify below)

10% Owner Other

6. Individual or Joint/Group Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Ownership

(Instr. 5)

Form filed by More than One

Reporting Person

4. Nature of Indirect Beneficial

S.PLAINFIELD, NJÂ 07080

(City) (State) (Zip)

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security

(Instr. 4)

2. Amount of Securities Beneficially Owned (Instr. 4)

Ownership Form:

Direct (D) or Indirect

(I) (Instr. 5)

Â 50,000 (1) Common Stock D

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

SEC 1473 (7-02)

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 control number.

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)

Conversion or Exercise Price of Derivative

Ownership Form of Derivative Security:

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

Title

Direct (D) Security

### Edgar Filing: POLARITYTE, INC. - Form 3

	Date Exercisable	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Option to Purchase	(2)	02/08/2027	Common Stock	50,000	\$ 4.72	D	Â

## **Reporting Owners**

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
Mogford Jon						
C/O POLARITYTE, INC.	ÂΧ	Â	Â	â		
4041-T HADLEY ROAD	АЛ	A	А	А		
S.PLAINFIELD, NJ 07080						

# **Signatures**

/s/ Jon Mogford 02/15/2017

\*\*Signature of Date
Reporting Person

## **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).
- Represents a restricted stock award issued pursuant to the Issuer's 2017 Equity Incentive Plan (the "2017") which will vest in 24 equal (1) monthly installments commencing on the one month anniversary of the grant date. The 2017 Plan and the vesting of the restricted stock award are subject to stockholder approval.
- The 10 year option to purchase 50,000 shares of the Issuer's common stock pursuant to the 2017 Plan will vest in 24 equal monthly

  (2) installments commencing on the one month anniversary of the grant date. The 2017 Plan and the vesting and the exercise of the option are subject to stockholder approval.

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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