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

1. Name and Address of Reporting Person* Brady Todd C	2. Date of Event Requiring Statement (Month/Day/Year) 05/01/2014		3. Issuer Name and Ticker or Trading Symbol <u>Aldeyra Therapeutics, Inc.</u> [ALDX]					
(Last) (First) (Middle) C/O ALDEYRA THERAPEUTICS, INC.			4. Relationship of Reporting Pers (Check all applicable) X Director	on(s) to Issue 10% Owne	!	5. If Amendment, Da (Month/Day/Year)	ate of Original Filed	
15 NEW ENGLAND EXECUTIVE PARK			X Officer (give title below)	Other (spe below)		6. Individual or Joint Applicable Line)	/Group Filing (Check	
(Street)			President and	CEO		X Form filed by	y One Reporting Person	
BURLINGTON MA 01803						Form filed by Reporting P	y More than One erson	
(City) (State) (Zip)								
Table I - Non-Derivative Securities Beneficially Owned								
1. Title of Security (Instr. 4)			2. Amount of Securities Beneficially Owned (Instr. 4)			. Nature of Indirect Beneficial Ownership nstr. 5)		
Common Stock			2,589	D	D			
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 Securit Underlying Derivative Securit	y (Instr. 4) Conve or Exe		ise Form:	(Instr. 5)	
	Date Exercisable	Expiration Date	n Title	Amount or Number of Shares	Price of Derivativ Security	ve or Indirect		
Employee Stock Option (Right to Buy)	(1)	09/07/2023	3 Common Stock	192,084	0.552	2 D		
Employee Stock Option (Right to Buy)	(2)	09/07/2023	3 Common Stock	32,953	0.552	2 D		
Employee Stock Option (Right to Buy)	(3)	09/07/2023	3 Common Stock	48,021	0.552	2 D		
Employee Stock Option (Right to Buy)	(4)	10/29/2023	3 Common Stock	96,042	4.56	D		

Explanation of Responses:

1. Exercisable over four years of service from April 15, 2013, with 25% vesting upon completion of 12 months of service and in 36 equal monthly installments thereafter.

2. This option became exercisable with respect to 1/6th of the shares each month over six months of continuous service following April 1, 2013.

3. Exercisable with respect to 16,007 shares upon each of the effective date of the initial public offering, the date on which the Issuer's closing market capitalization equals at least \$55.0 million for 10 consecutive trading days and the date on which the Issuer's closing market capitalization equals at least \$70.0 million for 10 consecutive trading days, provided that Dr. Brady remains in continuous service with the Issuer through each such date.

4. Exercisable with respect to 1/16th of the shares in quarterly installments over four years of continuous service following October 30, 2013.

Remarks:

05/01/2014

** 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.

/s/ Todd C. Brady