HTG MOLECULAR DIAGNOSTICS, INC

Form SC 13D/A September 01, 2017

UNITED STATES

SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

SCHEDULE 13D

INFORMATION TO BE INCLUDED IN STATEMENTS FILED PURSUANT TO § 240.13d-1(a) AND AMENDMENTS THERETO FILED PURSUANT TO 240.13d-2(a) UNDER THE SECURITIES EXCHANGE ACT OF 1934

(Amendment No. 3)*

HTG MOLECULAR DIAGNOSTICS, INC.

(Name of Issuer)

Common Stock, Par Value \$0.001

(Title of Class of Securities)

40434H 10 4

(CUSIP Number)

Victoria A. Whyte

GlaxoSmithKline plc

980 Great West Road

Brentford, Middlesex TW8 9GS

England

Telephone: +44 (0)208 047 5000

(Name, Address and Telephone Number of Person Authorized to Receive Notices and Communications)

August 4, 2017

(Date of Event which Requires Filing of this Statement)

If the filing person has previously filed a statement on Schedule 13G to report the acquisition that is the subject of this Schedule 13D, and is filing this schedule because of §§240.13d-1(e), 240.13d-1(f) or 240.13d-1(g), check the following box.

Note: Schedules filed in paper format shall include a signed original and five copies of the schedule, including all exhibits. See §240.13d-7 for other parties to whom copies are to be sent.

The information required on the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange Act of 1934 ("Act") or otherwise subject to the liabilities of that section of the Act but shall be subject to all other provisions of the Act.

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^{*} The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter disclosures provided in a prior cover page.

NAMES OF REPORTING PERSONS I.R.S. IDENTIFICATION NOS. OF ABOVE PERSONS (ENTITIES ONLY) GlaxoSmithKline plc CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP 2. (see instructions) (a) (b) SEC USE ONLY SOURCE OF FUNDS (see instructions) 4. WC CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED PURSUANT TO ITEMS 2(d) or 2(e) CITIZENSHIP OR PLACE OF ORGANIZATION 6. England and Wales SOLE VOTING POWER 7. 792,781 SHARED VOTING POWER 8. -0-NUMBER OF SHARES BENEFICIALLY OWNED BY EACH REPORTING SOLE DISPOSITIVE POWER PERSON WITH 9. 792,781 SHARED DISPOSITIVE **POWER** 10. -0-AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON 11. 792,781 shares of Common Stock (1) CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (11) EXCLUDES CERTAIN SHARES 12. (see instructions) PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (11) 13. 6.9% of the shares of Common Stock (2) 14. TYPE OF REPORTING PERSON (see instructions)

CO

Footnotes:

- (1) Shares of Common Stock are held of record by S.R. One, Limited, an indirect, wholly-owned subsidiary of the Reporting Person.
- (2) Based on 11,448,443 shares of the Issuer's Common Stock outstanding as of August 4, 2017.

Expiration DateTitleAmount or Number of Shares Phantom Stock Units (3)02/23/2017 M 612 (4) Common Stock 612 \$ 96.09 2,871 D

Reporting Owners

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Benton Patrick M. 2801 EAST BELTLINE NE GRAND RAPIDS, MI 49525

President, UFP Northern Div.

Signatures

/s/ Christina A. Holderman, Attorney-in-Fact for Patrick M. Benton

02/27/2017

**Signature of Reporting Person

Date

Explanation of Responses:

- * 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).
- (1) Shares are subject to time-based cliff vesting on the fifth (5th) anniversary of the award date.
- (2) Represents grant of shares of restricted stock. The shares vest on the fifth anniversary of the grant date, subject to earlier vesting upon death, disability or retirement.
- (**3**) 1-for-1
- (4) The phantom stock units were accrued under the Company's Deferred Compensation Plan and are payable in shares of the Company's common stock until the reporting person's death, disability or retirement.

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.

: 9pt Times New Roman, Times, Serif; text-indent: 0.25in; margin-right: 0; margin-left: 0">Date: August 31, 2017

GLAXOSMITHKLINE PLC

By: /s/ Victoria A. Whyte

Name: Victoria A. Whyte Title: Authorized Signatory

Reporting Owners 4

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SCHEDULE 1

Name Board of Directors	Business Address	Principal Occupation or Employment	Citizenship		
Emma Walmsley	980 Great West Road Brentford Middlesex, England TW8 9GS	Executive Director and Chief Executive Officer	British		
Professor Sir Roy Anderson	980 Great West Road Brentford Middlesex, England TW8 9GS	Company Director	British		
Manvinder Singh Banga	980 Great West Road Brentford Middlesex, England TW8 9GS	Company Director	Indian		
Dr. Vivienne Cox	980 Great West Road Brentford Middlesex, England TW8 9GS	Company Director	British		
Simon Dingemans	980 Great West Road Brentford Middlesex, England TW8 9GS	Executive Director and Chief Financial Officer	British		
Lynn Elsenhans	980 Great West Road Brentford Middlesex, England TW8 9GS	Company Director	US		
Dr. Jesse Goodman	980 Great West Road Brentford Middlesex, England TW8 9GS	Company Director	US		
Dr. Laurie Glimcher	980 Great West Road Brentford Middlesex, England TW8 9GS	Company Director	US		
Sir Philip Hampton	980 Great West Road Brentford Middlesex, England TW8 9GS	Chairman and Company Director	British		
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Name Business Address Principal Occupation or Employment Citizenship

980 Great West Road

US

Judy Lewent Middlesex, England

TW8 9GS

Brentford

980 Great West Road Urs Rohner

Brentford

Company Director

Company Director

Swiss

Middlesex, England

TW8 9GS

980 Great West Road

Brentford Dr. Patrick Vallance

Executive Director and President, R&D British

Middlesex, England

TW8 9GS

TW8 9GS

Corporate Executive Team

Executive Team			
Emma Walmsley	980 Great West Road Brentford Middlesex, England TW8 9GS	Executive Director and Chief Executive Officer	British
Roger Connor	980 Great West Road Brentford Middlesex, England TW8 9GS	President, Global Manufacturing & Supply	Irish
Luc Debruyne	980 Great West Road Brentford Middlesex, England TW8 9GS	President, Global Vaccines	Belgian
Simon Dingemans	980 Great West Road Brentford Middlesex, England TW8 9GS	Executive Director and Chief Financial Officer	British
Nick Hirons	980 Great West Road Brentford Middlesex, England TW8 9GS	Senior Vice President, Global Ethics and Compliance	British & US
Brian McNamara	184 Liberty Corner Road Warren NJ, 07059 980 Great West Road	Chief Executive Officer, GSK Consumer Healthcare	US
David Redfern	Brentford Middlesex, England	Chief Strategy Officer	British

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Name Business Address Principal Occupation or Employment Citizenship

980 Great West Road

Karenann Terrell Brentford Chief Digital and Technology Officer US

TW8 9GS

980 Great West Road

Claire Thomas Brentford Senior Vice President,

British

Middlesex, England Human Resources

TW8 9GS

980 Great West Road

Philip Thomson Brentford Middlesex, England President, Global Affairs British

TW8 9GS

The Navy Yard

Daniel Troy

5 Crescent Drive
Philadelphia, PA

Senior Vice President & General Counsel US

19112

980 Great West Road

Dr. Patrick Vallance Brentford Middlesex, England Executive Director and President, R&D British

TW8 9GS

980 Great West Road

Luke Miels

Brentford
Middlesex, England

President, Global Pharmaceuticals

Australian

TW8 9GS