SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

## INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL

OMB Number: 3235-0104 Estimated average burden hours per response: 0.5

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

Reumuth Mary	2. Date of Event Requiring Stater (Month/Day/Yea 07/19/2017	ment	3. Issuer Name and Ticker or Trading Symbol <u>Kala Pharmaceuticals, Inc.</u> [KALA]					
(Last) (First) (Middle) C/O KALA PHARMACEUTICALS, INC. 100 BEAVER STREET, SUITE 201 (Street) WALTHAM MA 02453			4. Relationship of Reporting Perso (Check all applicable) Director X X Officer (give title below) Chief Financial C	10% Owne Other (spe below)	r (Mol cify 6. In App	hth/Day/Year) dividual or Joint licable Line) Form filed b	ate of Original Filed I/Group Filing (Check y One Reporting Person y More than One erson	
(City) (State) (Zip)								
	Table I - Nor	n-Derivati	ive Securities Beneficiall	y Owned				
			. Amount of Securities eneficially Owned (Instr. 4)			Nature of Indirect Beneficial Ownership nstr. 5)		
	Table II - D	Derivative	e Securities Beneficially	Owned				
(e.	g., puts, cal		nts, options, convertible		s)			
(e. 1. Title of Derivative Security (Instr. 4)	g., puts, cal 2. Date Exerc Expiration Da (Month/Day/)	Is, warra cisable and ate		securities	4. Conversion or Exercise	5. Ownership Form:	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
· · · · · · · · · · · · · · · · · · ·	2. Date Exerc	Is, warra cisable and ate	nts, options, convertible 3. Title and Amount of Securit Underlying Derivative Securit	securities	4. Conversion	Ownership	Beneficial Ownership	
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1. Title of Derivative Security (Instr. 4) Stock Option (right to buy)	2. Date Exercisable	Is, warra cisable and ate (ear) Expiration Date	nts, options, convertible 3. Title and Amount of Securit Underlying Derivative Securit Title Common Stock	securities ies y (Instr. 4) Amount or Number of Shares 11,520	4. Conversion or Exercise Price of Derivative Security 2.3	Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	Beneficial Ownership	
Title of Derivative Security (Instr. 4)     Stock Option (right to buy)     Stock Option (right to buy)	2. Date Exercisable (1) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2	Is, warra cisable and ate (ear) Expiration Date 10/02/2024 10/02/2024	nts, options, convertible 3. Title and Amount of Securit Underlying Derivative Securit Title Common Stock Common Stock Common Stock	securities ies y (Instr. 4) Amount or Number of Shares 11,520 11,520	4. Conversion or Exercise Price of Derivative Security 2.3 2.3	Ownership Form: Direct (D) or Indirect (I) (Instr. 5) D D	Beneficial Ownership	

Explanation of Responses:

1. This option was granted on October 2, 2014 and vests over four years, with 25% of the shares underlying the option vested on February 3, 2015, and an additional 2.0833% of the shares underlying the option vesting at the end of each successive one-month period thereafter.

2. This option was granted on October 2, 2014 and vests over four years, with to 25% of the shares underlying the option vested on August 18, 2015, and an additional 2.0833% of the shares underlying the option vesting at the end of each successive one-month period thereafter.

3. This option was granted on December 4, 2014 and vests over four years, with 25% of the shares underlying the option vested on December 4, 2015 and an additional 2.0833% of the shares underlying the option vesting at the end of each successive one-month period thereafter.

4. This option was granted on October 2, 2015 and vests over four years, with 25% of the shares underlying the option vested on October 2, 2016, and an additional 2.0833% of the shares underlying the option vesting at the end of each successive one-month period thereafter.

5. This option was granted on June 17, 2016 and vests over four years, with 25% of the shares underlying the option vested on June 17, 2017, and an additional 2.0833% of the shares underlying the option vesting at the end of each successive one-month period thereafter.

## <u>/s/ Mary Reumuth</u>

\*\* Signature of Reporting Person

07/19/2017

Date

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

 $\ast$  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.