SEC Form 3 FORM 3

## 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 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person <sup>*</sup> Puri Raj K.	Requiring (Month/Da	2. Date of Event Requiring Statement (Month/Day/Year) 11/22/2024 3. Issuer Name and Ticker or Trading Symbol IOVANCE BIOTHERAPEUTICS, INC. [ IOVA ]						<b>\</b> ]
(Last) (First) (Middle) C/O IOVANCE BIOTHERAPEUTICS, INC. 825 INDUSTRIAL ROAD, 4TH FLOOR (Street) SAN CARLOS CA 94070 (City) (State) (Zip)			4. Relationship of Reporting Issuer (Check all applicable) Director Officer (give title below) Chief Regulator	10% Owner Other (specify below)		<ul> <li>5. If Amendment, Date of Original Filed (Month/Day/Year)</li> <li>6. Individual or Joint/Group Filing (Check Applicable Line)</li> <li>Image: Form filed by One Reporting Person Form filed by More than One Reporting Person</li> </ul>		
Table I - Non-Derivative Securities Beneficially Owned								
1. Title of Security (Instr. 4)			2. Amount of Securities Beneficially Owned (Instr. 4)	3. Owne Form: D (D) or In (I) (Instr	Direct Owne ndirect		ature of Indirect Beneficial ership (Instr. 5)	
Common Stock			150,837(1)	E	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 Sec Underlying Derivative Sec (Instr. 4)		ity Convers		5. Ownership Form:	6. Nature of Indirect Beneficial Ownership (Instr.
	Date Exercisable	Expiration Date		Amount or Number of Shares	Price of Derivative Security		Direct (D) or Indirect (I) (Instr. 5)	5)
Stock Options (Right to Buy)	(2)	03/14/2032	Common Stock	325,000	12.3	38	D	
Stock Options (Right to Buy)	(2)	03/02/2033	Common Stock	35,902	7.1	2	D	
Stock Options (Right to Buy)	(2)	03/02/2033	Common Stock	57,858	7.1	2	D	
Restricted Stock Units	(3)	(3)	Common Stock	120,423	(4)		D	

Explanation of Responses:

1. Includes 3,472 shares of the Issuer's common stock purchased under the Issuer's 2020 Employee Stock Purchase Plan.

2. Provided the Reporting Person is still employed with the Issuer on the following dates, the options are exercisable as follows: (i) options for the purchase of one-third of such shares shall vest on the one-year anniversary of the date of grant; and (ii) the remaining options shall vest in eight equal quarterly installments over the next two years, commencing with the first quarter following the first anniversary of the date of grant.

3. The remaining restricted stock units ("RSUs") will vest in equal quarterly installments.

4. Each RSU represents a contingent right to receive one share of the Issuer's common stock.

## **Remarks:**

1. On November 22, 2024, Raj K. Puri was promoted to Chief Regulatory Officer from his previous position as Executive Vice President, Regulatory Strategy and Translational Medicine. Dr. Puri joined Iovance Biotherapeutics, Inc. (the "Issuer") in March 2022.

<u>/s/ Raj K. Puri</u> \*\* Signature of Reporting Person 12/02/2024

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.