

Edgar Filing: NOVAVAX INC - Form SC 13G

NOVAVAX INC
Form SC 13G
February 03, 2010

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

SCHEDULE 13G

Under the Securities Exchange Act of 1934

(AMENDMENT NO. 1) *

Novavax, Inc.
(NAME OF ISSUER)

Common Stock
(TITLE OF CLASS OF SECURITIES)

670002104
(CUSIP NUMBER)

12/31/2009
(Date of Event Which Requires Filing of this Statement)

Check the appropriate box to designate the rule pursuant to which this Schedule is filed:

☒ Rule 13d-1(b)

☐ Rule 13d-1(c)

☐ Rule 13d-1(d)

* 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 the disclosures provided in a prior cover page.

The information required in 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 (however, see the Notes).

CUSIP NO. 670002104

1 NAME OF REPORTING PERSON

Hartford Series Fund, Inc. on behalf of:
Hartford Capital Appreciation HLS Fund

S.S. OR I.R.S. IDENTIFICATION NOS. OF ABOVE PERSONS (entities only)

22-2481744

Edgar Filing: NOVAVAX INC - Form SC 13G

2 CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP (see instructions)

(a) ☐

(b) ☐

3 SEC USE ONLY

4 CITIZENSHIP OR PLACE OF ORGANIZATION

Maryland

5 SOLE VOTING POWER

NUMBER OF 6 SHARED VOTING POWER
SHARES

BENEFICIALLY 6,775,790

OWNED BY

EACH 7 SOLE DISPOSITIVE POWER

REPORTING

PERSON WITH:

8 SHARED DISPOSITIVE POWER

6,775,790

9 AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

6,775,790

10 CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES (see instructions)

11 PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9)

6.72%

12 TYPE OF REPORTING PERSON (see instructions)

IV

Page 2 of 5

CUSIP NO. 670002104

Item 1(a). Name of Issuer:

Novavax, Inc.

Item 1(b). Address of Issuer's Principal Executive Offices:

9920 Belward Campus Drive
Rockville, MD 20850

Item 2(a). Name of Person(s) Filing:

Edgar Filing: NOVAVAX INC - Form SC 13G

Hartford Series Fund, Inc. on behalf of:
Hartford Capital Appreciation HLS Fund

Item 2(b). Address of Principal Business Office or; if none, residence:

500 Bielenberg Drive
Woodbury, MN 55125-1400

Item 2(c). Citizenship:

Maryland

Item 2(d). Title of Class of Securities:

Common Stock

Item 2(e). CUSIP Number:

670002104

Item 3. If this statement is filed pursuant to Sections 240.13d-1(b) or 240.13d-2(b) or (c), check whether the person filing is a:

- (a) ☐ Broker or Dealer registered under Section 15 of the Act (15 U.S.C. 78o).
- (b) ☐ Bank as defined in Section 3(a)(6) of the Act (15 U.S.C. 78c).
- (c) ☐ Insurance Company as defined in Section 3(a)(19) of the Act (15 U.S.C. 78c).
- (d) ☒ Investment Company registered under Section 8 of the Investment Company Act of 1940 (15 U.S.C. 80a-8).

Page 3 of 5

CUSIP NO. 670002104

- (e) ☐ An investment adviser in accordance with Section 240.13d-1(b)(1)(ii)(E);
- (f) ☐ An employee benefit plan or endowment fund in accordance with Section 240.13d-1(b)(1)(ii)(F);
- (g) ☐ A parent holding company or control person in accordance with Section 240.13d-1(b)(1)(ii)(G);
- (h) ☐ A savings association as defined in Section 3(b) of the Federal Deposit Insurance Act (12 U.S.C. 1813);
- (i) ☐ A church plan that is excluded from the definition of an investment company under Section 3(c)(14) of the Investment Company Act of 1940 (15 U.S.C. 80a-3);
- (j) ☐ Group, in accordance with Section 240.13d-1(b)(1)(ii)(J).

Item 4. Ownership:

Edgar Filing: NOVAVAX INC - Form SC 13G

Provide the following information regarding the aggregate number and percentage of the class of securities of the issuer identified in Item 1.

(a) Amount Beneficially Owned 6,775,790

(b) Percent of Class 6.72%

(c) Number of shares as to which such person has:

(i) sole power to vote or to direct the vote

(ii) shared power to vote or to direct the vote

6,775,790

(iii) sole power to dispose or to direct the disposition of

(iv) shared power to dispose or to direct the disposition of

6,775,790

Page 4 of 5

CUSIP NO. 670002104

Item 5. Ownership of Five Percent or Less of a Class:

If this statement is being filed to report the fact that as of the date hereof the reporting person has ceased to be the beneficial owner of more than five percent of the class of securities, check the following: []

Item 6. Ownership of More than Five Percent on behalf of Another Person: N/A

Item 7. Identification and Classification of the Subsidiary which Acquired the Security being Reported on by the Parent Holding Company: N/A

Item 8. Identification and Classification of Members of the Group: N/A

Item 9. Notice of Dissolution of Group: N/A

Item 10. Certification:

By signing below I certify that, to the best of my knowledge and belief, the securities referred to above were acquired and are held in the ordinary course of business and were not acquired and are not held for the purpose of or with the effect of changing or influencing the control of the issuer of the securities and were not acquired and are not held in connection with or as a participant in any transaction having that purpose or effect.

Signature

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and

Edgar Filing: NOVAVAX INC - Form SC 13G

correct.

DATE: February 3, 2010

Hartford Series Fund, Inc. on behalf of:
Hartford Capital Appreciation HLS Fund

BY: /s/ Thomas D. Jones, III

Thomas D. Jones, III
Vice President and Chief Compliance
Officer

Page 5 of 5