

NantKwest, Inc.
Form 3
July 27, 2015

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,
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section
30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person *
Â Rosen Robert

(Last) (First) (Middle)

C/O NANTKWEST, INC.,Â 2533 SOUTH
COAST HIGHWAY 101, SUITE 210

(Street)

CARDIFF-BY-THE-SEA,Â CAÂ 92007-2133

(City) (State) (Zip)

2. Date of Event
Requiring Statement
(Month/Day/Year)
07/27/2015

3. Issuer Name **and** Ticker or Trading Symbol
NantKwest, Inc. [NK]

4. Relationship of
Reporting Person(s) to
Issuer

5. If Amendment, Date
Original
Filed(Month/Day/Year)

(Check all applicable)

☒X___ 10%
Director Owner
___ Officer ___ Other
(give title (specify
below) below)

6. Individual or Joint/Group
Filing(Check Applicable Line)
☒X_ Form filed by One
Reporting Person
___ Form filed by More than
One Reporting Person

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security
(Instr. 4)

2. Amount of Securities
Beneficially Owned
(Instr. 4)

3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)

4. Nature of Indirect Beneficial
Ownership
(Instr. 5)

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

SEC 1473 (7-02)

**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 control number.**

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)

Date Expiration
Exercisable Date

3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)

Title Amount or
Number of
Shares

4. Conversion
or Exercise
Price of
Derivative
Security

5. Ownership
Form of
Derivative
Security:
Direct (D)
or Indirect
(I)

6. Nature of Indirect
Beneficial Ownership
(Instr. 5)

(Instr. 5)

Stock Option (right to buy)	Â (1)	12/10/2024	Common Stock	370,300	\$ 1.7554	D	Â
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Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Rosen Robert C/O NANTKWEST, INC. 2533 SOUTH COAST HIGHWAY 101, SUITE 210 CARDIFF-BY-THE-SEA,Â CAÂ 92007-2133	Â X	Â	Â	Â

Signatures

/s/ Richard Gomberg, as Attorney-in-Fact	07/27/2015
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__Signature of Reporting Person

Date

Explanation of Responses:

* 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).

(1) Subject to the reporting person's continuing service, one twenty-fourth (1/24th) of the shares subject to the option shall vest each month on the same day as the vesting commencement date, such that the shares subject to the option shall become fully vested and exercisable on the second (2nd) anniversary of the vesting commencement date. The vesting commencement date for this option is December 10, 2014.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure.

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