

ISAACS STEPHEN T

Form 4

March 09, 2018

FORM 4**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

Check this box
if no longer
subject to
Section 16.
Form 4 or
Form 5
obligations
may continue.
See Instruction
1(b).

**STATEMENT OF CHANGES IN 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

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
ISAACS STEPHEN T

(Last) (First) (Middle)

C/O ADURO BIOTECH, INC., 740
HEINZ AVENUE

(Street)

BERKELEY, CA 94710

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
ADURO BIOTECH, INC. [ADRO]

3. Date of Earliest Transaction
(Month/Day/Year)
03/08/2018

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

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

President and CEO

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

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock	03/08/2018		M	25,634 A	\$ 0.45 231,380	D	
Common Stock	03/08/2018		S ⁽¹⁾	25,634 D	\$ 7.95 ⁽²⁾ 205,746	D	
Common Stock	03/09/2018		M	15,676 A	\$ 0.45 221,422	D	
Common Stock	03/09/2018		M	19,672 A	\$ 0.45 241,094	D	
Common Stock	03/09/2018		M	4,914 A	\$ 0.45 246,008	D	

Edgar Filing: ISAACS STEPHEN T - Form 4

Common Stock	03/09/2018	M	6,155	A	\$ 0.82	252,163	D	
Common Stock	03/09/2018	S ⁽¹⁾	25,812	D	\$ 8.589 (3)	226,351	D	
Common Stock	03/09/2018	S ⁽¹⁾	20,605	D	\$ 9.006 (4)	205,746	D	
Common Stock						8,932	I	By Family Trust ⁽⁵⁾

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

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.

SEC 1474
(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Amount or Number of Shares
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title
Stock Option (right to buy)	\$ 0.45	03/08/2018		M	25,634	(6)	03/18/2020	Common Stock 25,634
Stock Option (right to buy)	\$ 0.45	03/09/2018		M	15,676	(6)	03/18/2020	Common Stock 15,676
Stock Option (right to buy)	\$ 0.45	03/09/2018		M	19,672	(6)	03/18/2020	Common Stock 19,672
Stock Option (right to buy)	\$ 0.45	03/09/2018		M	4,914	(6)	03/18/2020	Common Stock 4,914

Stock Option (right to buy)	\$ 0.82	03/09/2018	M	6,155	(6)	11/26/2023	Common Stock	6,155
--------------------------------------	---------	------------	---	-------	-----	------------	-----------------	-------

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
ISAACS STEPHEN T C/O ADURO BIOTECH, INC. 740 HEINZ AVENUE BERKELEY, CA 94710	X		President and CEO	

Signatures

/s/ Jennifer Lew,
Attorney-in-Fact

03/09/2018

__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) The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person on May 16, 2017.

The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$7.95 to \$7.975, inclusive. The Reporting Person undertakes to provide to the Issuer, any security holder of the Issuer, or the staff of the

(2) Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range.

The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$7.95 to \$8.95, inclusive. The Reporting Person undertakes to provide to the Issuer, any security holder of the Issuer, or the staff of the

(3) Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range.

The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$8.975 to \$9.15, inclusive. The Reporting Person undertakes to provide to the Issuer, any security holder of the Issuer, or the staff of the

(4) Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range.

(5) The shares owned directly by the Isaacs-MacBride Family Trust UAD 03/09/01, for which the Reporting Person is a trustee.

(6) The shares subject to the Option are fully vested and immediately exercisable.

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.