Edgar Filing: McDowell Caryn Gordon - Form 4

McDowell Car	yn Gordon								
Form 4									
January 18, 20	18								
	Л						OMB AF	PROVA	L
FORM	UNII	ED STATE:			AND EXCHANGE (, D.C. 20549	COMMISSION	OMB Number:	3235-	
Check this I if no longer subject to Section 16. Form 4 or		STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES						Januar verage rs per	y 31, 2005 0.5
Form 5 obligations may continu <i>See</i> Instruct 1(b).	ue. Section	ge Act of 1934, f 1935 or Section 40	response n		0.0				
(Print or Type Res	sponses)								
1. Name and Add McDowell Ca	-	-	Symbol		d Ticker or Trading	5. Relationship of Issuer	Reporting Pers		
(Last)	(First)	(Middle)	3. Date of (Month/D		ransaction	Director	10%	Owner	
280 EAST GF	RAND AVI	ENUE	01/16/2	018		X Officer (give below) GC & Chie	title Othe below) f Compliance C	er (specify) Officer	
	(Street)			ndment, D hth/Day/Yea	ate Original r)	6. Individual or Jo Applicable Line) _X_ Form filed by 0	-	-	
SOUTH SAN FRANCISCO	, CA 94080)					fore than One Re		
(City)	(State)	(Zip)	Tabl	e I - Non-	Derivative Securities Acc	quired, Disposed of	, or Beneficial	ly Owned	d
		Date 2A. Dee (ear) Executi	emed	3.	4. Securities Acquired ion(A) or Disposed of	• • •	6. Ownership Form: Direct	7. Natur	

1.Title of	2. Transaction Date	2A. Deemed	3.	4. Securi	ties A	cquired	5. Amount of	6. Ownership	7. Nature of
Security	(Month/Day/Year)	Transaction(A) or Disposed of			Securities	Form: Direct	Indirect		
(Instr. 3)		any	Code	(D)			Beneficially	(D) or	Beneficial
		(Month/Day/Year)	(Instr. 8)	(Instr. 3,	4 and	5)	Owned	Indirect (I)	Ownership
							Following	(Instr. 4)	(Instr. 4)
					(1)		Reported		
					(A)		Transaction(s)		
			Code V	Amount	or (D)	Price	(Instr. 3 and 4)		
Common	01/16/2018		M (1)	77	٨	\$	15 077	D	
Stock	01/10/2018		WI <u>('')</u>	//	А	6.67	15,077	D	
~									
Common	01/16/2018		S (2)	77	D	\$9	15,000	D	
Stock	01/10/2010		~ _	,,	2	Ψŗ	10,000	D	
Common						¢			
Common	01/16/2018		$M^{(1)}$	77	А	, Ф.67	15,077	D	
Stock						0.07			
Common					_			_	
Stock	01/16/2018		S <u>(2)</u>	77	D	\$9	15,000	D	
STOCK									
Common	01/16/2019		M (1)	(5)	٨	\$	15 (5)	D	
Stock	01/16/2018		M <u>(1)</u>	652	А	6.67	15,652	D	

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Common Stock	01/16/2018	S <u>(2)</u>	652	D	\$9	15,000	D
Common Stock	01/16/2018	M <u>(1)</u>	653	А	\$ 6.67	15,653	D
Common Stock	01/16/2018	S <u>(2)</u>	653	D	\$9	15,000	D
Common Stock	01/16/2018	M <u>(1)</u>	625	А	\$ 6.37	15,625	D
Common Stock	01/16/2018	S <u>(2)</u>	625	D	\$9	15,000	D
Common Stock	01/16/2018	M <u>(1)</u>	625	А	\$ 6.37	15,625	D
Common Stock	01/16/2018	S <u>(2)</u>	625	D	\$9	15,000	D

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

Persons who respond to the collection of SEC 1474 information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(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. Transactio Code (Instr. 8)	5. Number 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 a Underlying S (Instr. 3 and	Securities
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amoun or Numbe of Shares
Incentive Stock Option (right to buy)	\$ 6.37	01/16/2018		М	625	05/29/2016	05/29/2025	Common Stock	625
Incentive Stock Option (right to buy)	\$ 6.37	01/16/2018		М	625	05/29/2016	05/29/2025	Common Stock	625
Incentive Stock Option (right to buy)	\$ 6.67	01/16/2018		М	652	03/23/2016	02/23/2026	Common Stock	652

Incentive Stock Option (right to buy)	\$ 6.67	01/16/2018	М	653	03/23/2016	02/23/2026	Common Stock	653
Non-Qualified Stock Option (right to buy)	\$ 6.67	01/16/2018	М	77	03/23/2016	02/23/2026	Common Stock	77
Non-Qualified Stock Option (right to buy)	\$ 6.67	01/16/2018	М	77	03/23/2016	02/23/2026	Common Stock	77

Reporting Owners

Reporting Owner Name / Address	Relationships						
1	Director	10% Owner	Officer	Other			
McDowell Caryn Gordon 280 EAST GRAND AVENUE SOUTH SAN FRANCISCO, CA 94080			GC & Chief Compliance Officer				

Signatures

Caryn 01/17/2018 McDowell **Signature of Date

Reporting Person

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).
- The exercise reported on this Form 4 was effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on June 13, (1) 2017.

(2) The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on June 13, 2017.

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.