## Edgar Filing: Atara Biotherapeutics, Inc. - Form 4

Atara Biothe Form 4 October 23,	erapeutics, Inc.								
							OMB AF	PROVAL	
FORM	<b>4</b> UNITED STA	TES SECURITIES A Washington			GE C	OMMISSION	OMB Number:	3235-0287	
Check th						Expires:	January 31,		
if no long subject to Section 1 Form 4 c	or <b>STATEMEN</b> 16. 07	STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES						2005 verage rs per 0.5	
Form 5 obligations may continue. See Instruction 1(b). 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 l	Responses)								
1. Name and A MARCUS J	Symbol	ssuer Name <b>and</b> Ticker or Trading bol ra Biotherapeutics, Inc. [ATRA]				5. Relationship of Reporting Person(s) to Issuer			
(Last)	(First) (Middle	3. Date of Earliest T		-		(Check	k all applicable	)	
(Month/I			(21/2014				e title 10% Owner Other (specify below)		
	(Street)	4. If Amendment, D Filed(Month/Day/Yea	-			6. Individual or Joint/Group Filing(Check Applicable Line)			
PASADENA, CA 91101						_X_ Form filed by One Reporting Person Form filed by More than One Reporting Person			
(City)	(State) (Zip)	Table I - Non-l	Derivative Se	ecurities	s Acqı	iired, Disposed of	, or Beneficial	ly Owned	
1.Title of Security (Instr. 3)	any		on Date, if Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) Day/Year) (Instr. 8) (A)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)		
		Code V	Amount	or (D)	Price	(Instr. 3 and 4)		C	
Common Stock	10/21/2014	С	256,410	А	<u>(1)</u>	256,410	I	See Footnote $(2)$	
Common Stock	10/21/2014	С	501,945	А	<u>(3)</u>	758,355	I	See Footnote $(2)$	
Common Stock	10/21/2014	Р	150,000	А	\$ 11	908,355	I	See Footnote	

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

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# 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)	TransactionDerivative Code Securities		6. Date Exercisable and Expiration Date (Month/Day/Year)		Amount of Securities 1 4)
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Series A Preferred Stock	<u>(1)</u>	10/21/2014		С	256,410	<u>(1)</u>	(1)	Common Stock	256,410
Series B Preferred Stock	<u>(3)</u>	10/21/2014		С	501,945	(3)	(3)	Common Stock	501,945

## **Reporting Owners**

	Relationships					
Reporting Owner Name / Address	Director	10% Owner	Officer	Other		
IARCUS JOEL S /O ALEXANDRIA REAL ESTATE EQUITIES, INC 35 EAST COLORADO BOULEVARD, SUITE 299 ASADENA, CA 91101	Х					
ianatures						

### Signatures /s/ Joel S.

M. C/ 38 PA

Marcus 10/23/2014

<u>\*\*</u>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 Series A Preferred Stock had no expiration date and each share of Series A Preferred Stock was automatically converted into common stock on a 1-for-1 basis upon the consummation of the Issuer's initial public offering.
- (2) Consists of shares of common stock held by Alexandria Equities, LLC. Mr. Marcus is the Chairman, CEO and Founder of Alexandria Real Estate Equities, Inc., which is the managing member of Alexandria Equities, LLC, which has full voting and investment power with

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respect to the shares owned by Alexandria Equities, LLC. As an officer of Alexandria Real Estate Equities, Inc., Mr. Marcus may be deemed to have voting and investment power with respect to the shares owned by Alexandria Equities, LLC. Mr. Marcus disclaims beneficial ownership of the shares held by Alexandria Equities, LLC, except to the extent of his underlying pecuniary interest therein.

(3) The Series B Preferred Stock had no expiration date and each share of Series B Preferred Stock was automatically converted into common stock on a 1-for-1 basis upon the consummation of the Issuer's initial public offering.

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.