## Edgar Filing: Tung Roger D - Form 4

Form 4												
November 20										OMB	APPROVAL	
FORM	<b>14</b> UNITED	STATES				AND EX , D.C. 20		ANGE (	COMMISSION	NOMB Number:	3235-0287	
Check thi if no long subject to Section 1 Form 4 o	ger <b>STATEN</b> 6.											
Form 5 obligation may cont <i>See</i> Instru 1(b).	ns inue. Section 17(	(a) of the P	ublic U	tility I	Hol		npan	y Act of	e Act of 1934, f 1935 or Sectio 40	on		
(Print or Type F	Responses)											
Tung Roger D Symbol CONC				uer Name <b>and</b> Ticker or Trading ol CERT PHARMACEUTICALS, [CNCE]					5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
				e of Earliest Transaction h/Day/Year) 7/2017					X Director 10% Owner X Officer (give title Other (specify below) below) Chief Executive Officer			
Filed(Month/Day/Year)								6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting				
	ON, MA 02421								Person		1 0	
(City)	(State)	(Zip)	Tab	le I - N	on-l	Derivative	Secu	rities Acc	uired, Disposed	of, or Benefic	cially Owned	
1.Title of Security (Instr. 3)	2. Transaction Date 2A. Deemed (Month/Day/Year) Execution Date, if any (Month/Day/Year)			Code (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	11/17/2017			M	·	7,340	A		626,305	D		
Common Stock	11/17/2017			F		1,607	D	\$ 20.91	624,698	D		
Common Stock									121,873	Ι	By Roger D. Tung 2011 GRAT (1)	
Common Stock									13,274	Ι	By Tung Family	

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Common Stock Reminder: Re	port on a sepa	rate line for each class	s of securities benefic	Persons w informatio required to	irectly or ind tho respon n containe o respond	2,389 lirectly. d to the coll d in this fori unless the fo valid OMB c	m are not orm	Investmen Trust (2) By RD Tu Irrevocable Trust (3) SEC 1474 (9-02)	ng			
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. 3. Transaction Date 3A. Deemed Conversion (Month/Day/Year) Execution Date, or Exercise any		3A. Deemed Execution Date, if	4. 5 Transaction Code S (Instr. 8) A ( E ( (	. Number	6. Date Exer Expiration D (Month/Day/	ate	7. Title and Amount of 8 Underlying Securities 1 (Instr. 3 and 4) 5				
Employee Stock Option (right to	\$ 4.58	11/17/2017		Code V (	A) (D) 7,340	Date Exercisable ( <u>4</u> )	Expiration Date 12/19/2018	Title Common Stock	Amount or Number of Shares 7,340			
buy) Reporting Owners												
Reporting Owner Name / Address Director				10% Owne	<b>Relation</b> r Officer	Othe	r					
Tung Roger DC/O CONCERT PHARMACEUTICALS, INC.99 HAYDEN AVENUE, SUITE 500LEXINGTON, MA 02421				Chief Executive Officer								
Signat	ures											
/s/ Roger 7 <u>**</u> Signatur Reporting P	e of	11/20/2017 Date										

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## **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) Shares held by Roger D. Tung 2011 GRAT. Dr. Tung is the sole trustee of the Roger D. Tung 2011 GRAT. Dr. Tung disclaims beneficial ownership of such shares except to the extent of any pecuniary interest therein.
- (2) Shares held by the Tung Family Investment Trust. Dr. Tung is a co-trustee of the Tung Family Investment Trust. Dr. Tung disclaims beneficial ownership of such shares except to the extent of any pecuniary interest therein.
- (3) Shares held by the RD Tung Irrevocable Trust. Dr. Tung's spouse is a co-trustee of the RD Tung Irrevocable Trust. Dr. Tung disclaims beneficial ownership of such shares except to the extent of any pecuniary interest therein.
- (4) This option is fully vested.

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.