

Shao Jiong  
Form 3  
March 19, 2018

**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 *              |         | 2. Date of Event Requiring Statement   | 3. Issuer Name <b>and</b> Ticker or Trading Symbol |   |
| Â Shao Jiong   |         | (Month/Day/Year)   | Sorrento Therapeutics, Inc. [SRNE]                 |   |
| (Last)   | (First) | (Middle)   | 03/19/2018   |   |
| C/O SORRENTO THERAPEUTICS, INC.,Â 4955 DIRECTORS PLACE |         |  | 4. Relationship of Reporting Person(s) to Issuer   | 5. If Amendment, Date Original Filed(Month/Day/Year)  |
| (Street)   |         |  | (Check all applicable)                             |   |
| SAN DIEGO,Â CAÂ 92121                                  |         | <input type="checkbox"/> Director <input type="checkbox"/> 10% Owner<br><input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other<br>(give title below)    (specify below)<br>Chief Financial Officer |  | 6. Individual or Joint/Group Filing(Check Applicable Line)<br><input checked="" type="checkbox"/> Form filed by One Reporting Person<br><input type="checkbox"/> Form filed by More than One Reporting Person |
| (City)   | (State) | (Zip)  |  |   |

**Table I - Non-Derivative Securities Beneficially Owned**

| 1. Title of Security<br>(Instr. 4) | 2. Amount of Securities Beneficially Owned<br>(Instr. 4) | 3. Ownership Form:<br>Direct (D)<br>or Indirect (I)<br>(Instr. 5) | 4. Nature of Indirect Beneficial Ownership<br>(Instr. 5) |
|------------------------------------|--|---|--|
|------------------------------------|--|---|--|

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

SEC 1473 (7-02)

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**Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**

| 1. Title of Derivative Security<br>(Instr. 4) | 2. Date Exercisable and Expiration Date<br>(Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security<br>(Instr. 4) | 4. Conversion or Exercise Price of Derivative Security | 5. Ownership Form of Derivative Security: Direct (D) | 6. Nature of Indirect Beneficial Ownership<br>(Instr. 5) |
|---|---|--|--|--|--|
|   | Date Exercisable    Expiration Date                         | Title    Amount or Number of   |  |  |  |

|               |       |            |                 | Shares  |         | or Indirect<br>(I)<br>(Instr. 5) |   |
|---------------|-------|------------|-----------------|---------|---------|----------------------------------|---|
| Stock Options | Â (1) | 03/16/2028 | Common<br>Stock | 200,000 | \$ 7.75 | D                                | Â |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |                           |       |
|--|---------------|-----------|---------------------------|-------|
|  | Director      | 10% Owner | Officer                   | Other |
| Shao Jiong<br>C/O SORRENTO THERAPEUTICS, INC.<br>4955 DIRECTORS PLACE<br>SAN DIEGO, CA 92121 | Â             | Â         | Â Chief Financial Officer | Â     |

## Signatures

/s/ Jiong Shao                      03/19/2018  
 \_\_Signature of                      Date  
 Reporting Person

## 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).  
 1/4th of the original number of shares subject to the option shall vest on March 16, 2019 and 1/48th of the original number of shares  
 (1) subject to the option shall vest following each one month period of service after March 16, 2019, subject to the Reporting Person's  
 continued service to the Issuer through each such vesting date.

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### Remarks:

Exhibit 24 - Power of Attorney

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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