Edgar Filing: Atara Biotherapeutics, Inc. - Form 4

Atara Biotherapeutics, Inc. Form 4 November 18, 2015

November 18	, 2015								
FORM	FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION								
	UNITED	STATES	OMB Number:	3235-0287					
Check this if no long subject to Section 16 Form 4 or Form 5	er STATE 5. Filed pu	Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,						January 31, 2005 average irs per 0.5	
obligation may conti <i>See</i> Instru 1(b).	nue. Section 17			•	ing Company Act of 19 Company Act of 19		1		
Print or Type R	esponses)								
1. Name and Address of Reporting Person $\frac{*}{2}$ Fust Matthew K			2. Issuer Name and Ticker or Trading Symbol Atara Biotherapeutics, Inc. [ATRA]			5. Relationship of Reporting Person(s) to Issuer			
(Last)	(First)	*				(Checl X_ Director	e) 6 Owner		
INC., 701 G.	A BIOTHERAP ATEWAY RD, SUITE 200		11/16/20)15		Officer (give below)	title Oth below)	er (specify	
(Street)			4. If Amendment, Date Original Filed(Month/Day/Year)			6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person			
SOUTH SAI FRANCISCO	N O, CA 94080					Form filed by M Person	fore than One Ro	eporting	
(City)	(State)	(Zip)	Table	e I - Non-Do	erivative Securities Ac	equired, Disposed of	, or Beneficia	lly Owned	
1.Title of Security (Instr. 3)	2. Transaction Da (Month/Day/Yea	r) Executio any	med on Date, if Day/Year)	3. Transactic Code (Instr. 8)	4. Securities onAcquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	Securities Beneficially	6. Ownership Form: Direct (D) or Indirect (I)	7. Nature of Indirect Beneficial Ownership	

	(Month/Dav/Year)	(Instr. 8)	(Instr. 3.	4 and	5)	Owned	Indirect (I)	Ownership
	(1101111,24),1041)	(1115411-0)	(insu: 5, 1 and 5)			Following	(Instr. 4)	(Instr. 4)
				(•)		Reported		
						Transaction(s)		
		a 1 u			р.	(Instr. 3 and 4)		
		Code V	Amount	(D)				
11/16/2015		М	1,602	А		10,683	D	
	11/16/2015	(Month/Day/Year) 11/16/2015	Code V	Code V Amount	(A) or Code V Amount (D)	(A) or Code V Amount (D) Price \$ 0	(A) or Code V Amount (D) Following Reported Transaction(s) (Instr. 3 and 4) \$0 10,682	(A) or Code V Amount (D) Price \$ 0 11/16/2015 Following (Instr. 4) Reported Transaction(s) (Instr. 3 and 4) \$ 0 10.682 D

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.

 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. Transacti Code (Instr. 8)	5. Number on f 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. Pr Deriv Secu (Inst
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Restricted Stock Units	(2)	11/16/2015		М	1,602	(3)	<u>(4)</u>	Common Stock	1,602	\$

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Reporting Owners

Reporting Owner Name / Address	Relationships					
The Post and a strain of a strain of the str	Director	10% Owner	Officer	Othe		
Fust Matthew K C/O ATARA BIOTHERAPEUTICS, INC. 701 GATEWAY BOULEVARD, SUITE 200 SOUTH SAN FRANCISCO, CA 94080	X					
Signatures						
/s/ Tina Gullotta, Attorney-in-Fact for Matthew K. Fust	11/18/2015					
** 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) Shares issued upon settlement of vested restricted stock units.
- (2) Each restricted stock unit represents a contingent right to receive one share of the Issuer's common stock or a cash settlement.

The restricted stock units ("RSUs") were granted with both (a) a liquidity event-based vesting condition and (b) a service-based vesting condition, both of which conditions must be satisfied in order for the RSUs to vest. The liquidity event-based condition was satisfied upon the closing of the Issuer's initial public offering (the "IPO"). The shares that vested on the closing date of the IPO, and the shares

- (3) that vested bindle closing of the issuer's initial public offering (the initial vested on the closing date of the initial vested on the initial vested on the closing date of the initial vested on the initial veste
- (4) The earlier of (i) March 27, 2021 or (ii) the recipient's termination date.

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.