

Ferber Celeste  
Form 3  
February 07, 2019

# 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 \*

Â Ferber Celeste

(Last)

(First)

(Middle)

2. Date of Event Requiring  
Statement

(Month/Day/Year)

01/28/2019

3. Issuer Name **and** Ticker or Trading Symbol  
ADURO BIOTECH, INC. [ADRO]

4. Relationship of Reporting  
Person(s) to Issuer

5. If Amendment, Date Original  
Filed(Month/Day/Year)

(Check all applicable)

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_\_X\_\_ Officer \_\_\_\_ Other  
(give title below) (specify below)  
SVP, GC and Secretary

6. Individual or Joint/Group  
Filing(Check Applicable Line)  
\_\_X\_\_ Form filed by One Reporting  
Person  
\_\_\_\_ Form filed by More than One  
Reporting Person

C/O ADURO BIOTECH,  
INC.,Â 740 HEINZ AVENUE

(Street)

BERKELEY,Â CAÂ 94710

(City)

(State)

(Zip)

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

1. Title of Security  
(Instr. 4)

2. Amount of Securities  
Beneficially Owned  
(Instr. 4)

3. Ownership  
Form:  
Direct (D)  
or Indirect  
(I)  
(Instr. 5)

4. Nature of Indirect Beneficial  
Ownership  
(Instr. 5)

Common Stock

2,591

D

Â

Common Stock

1,650 <sup>(1)</sup>

D

Â

Common Stock

6,563 <sup>(2)</sup>

D

Â

Common Stock

3,282 <sup>(3)</sup>

D

Â

Common Stock

15,350 <sup>(4)</sup>

D

Â

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

SEC 1473 (7-02)

**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 Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**

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1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date <small>(Month/Day/Year)</small>		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Stock Option (Right to Buy)	Â <u>(5)</u>	03/10/2026	Common Stock	40,000	\$ 13.89	D	Â
Stock Option (Right to Buy)	Â <u>(6)</u>	12/11/2026	Common Stock	2,400	\$ 11.15	D	Â
Stock Option (Right to Buy)	Â <u>(7)</u>	06/11/2027	Common Stock	8,750	\$ 10.75	D	Â
Stock Option (Right to Buy)	Â <u>(8)</u>	02/08/2028	Common Stock	30,650	\$ 6.1	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Ferber Celeste C/O ADURO BIOTECH, INC. 740 HEINZ AVENUE BERKELEY, CA 94710	Â	Â	Â SVP, GC and Secretary	Â

## Signatures

/s/ Celeste  
Ferber

02/07/2019

\*\*Signature of  
Reporting Person

Date

## 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) Represents grant of restricted stock units payable in common stock that vest in four equal annual installments from the vesting commencement date of September 12, 2016.
- (2) Represents grant of restricted stock units payable in common stock that vest in four equal annual installments from the vesting commencement date of September 12, 2017.
- (3) Represents grant of restricted stock units payable in common stock that vest in four equal annual installments from the vesting commencement date of December 11, 2017.
- (4) Represents grant of restricted stock units payable in common stock that vest in four equal annual installments from the vesting commencement date of September 12, 2018.

- The shares subject to the Option vest over a four-year period as follows: 25% of the shares vest on the one year anniversary of the vesting commencement date of February 8, 2016 and thereafter the remaining shares vest in a series of equal monthly installments at a rate of one thirty-sixth (1/36th) per month.

(6)

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The shares subject to the Option vest in a series of equal monthly installments at a rate of one forty-eighth (1/48th) per month upon the Reporting Person's completion of each month of service measured from December 12, 2016.

- (7) The shares subject to the Option vest in a series of equal monthly installments at a rate of one forty-eighth (1/48th) per month upon the Reporting Person's completion of each month of service measured from June 12, 2017.
- (8) The shares subject to the Option vest in a series of equal monthly installments at a rate of one forty-eighth (1/48th) per month upon the Reporting Person's completion of each month of service measured from February 9, 2018.

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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