Lew Jennifer Form 4 April 10, 2019

## FORM 4

### UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

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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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

30(h) of the Investment Company Act of 1940

1(b).

(Print or Type Responses)

See Instruction

1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading Lew Jennifer Issuer Symbol ADURO BIOTECH, INC. [ADRO] (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) Director 10% Owner \_X\_\_ Officer (give title Other (specify C/O ADURO BIOTECH, INC., 740 04/08/2019 below) **HEINZ AVENUE** Chief Financial Officer (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting BERKELEY, CA 94710 Person

| (City)                               | (State)                                 | (Zip) Tab   | le I - Non-l   | Derivative   | Secur | ities Acqui         | red, Disposed of,  | or Beneficiall   | y Owned   |
|--------------------------------------|---|---|--|--------------|-------|---------------------|--|--|---|
| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. 4. Securities Acqui Transactior Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)  (A) or Code V Amount (D) |              |       | (D)                 | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
| Common<br>Stock                      | 04/08/2019                              |   | Code V<br>M  | Amount 4,225 | (D)   | \$ 0.82             | 139,380  | D  |   |
| Common<br>Stock                      | 04/08/2019                              |   | S  | 4,225<br>(1) | D     | \$<br>4.0756<br>(2) | 135,155  | D  |   |
| Common<br>Stock                      | 04/08/2019                              |   | M  | 2,232        | A     | \$ 1                | 137,387  | D  |   |
| Common<br>Stock                      | 04/08/2019                              |   | S  | 2,232<br>(1) | D     | \$ 4.0713 (2)       | 135,155  | D  |   |
|                                      | 04/08/2019                              |   | M  | 12,144       | A     | \$ 1.45             | 147,299  | D  |   |

#### Edgar Filing: Lew Jennifer - Form 4

Common Stock

Common Stock S 12,144 S D 4.0735 135,155 D

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

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SEC 1474

(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4. 5. Number of TransactionDerivative Code Securities (Instr. 8) 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) |                 |                                     |
|---|---|--------------------------------------|---|---|-----|--|---------------------|---|-----------------|-------------------------------------|
|   |   |                                      |   | Code V  | (A) | (D)  | Date<br>Exercisable | Expiration<br>Date  | Title           | Amount<br>or<br>Number<br>of Shares |
| Stock<br>Option<br>(Right to<br>Buy)                | \$ 0.82   | 04/08/2019                           |   | M   |     | 4,225  | <u>(3)</u>          | 11/26/2023  | Common<br>Stock | 4,225                               |
| Stock<br>Option<br>(Right to<br>Buy)                | \$ 1  | 04/08/2019                           |   | M   |     | 2,232  | (3)                 | 07/30/2024  | Common<br>Stock | 2,232                               |
| Stock<br>Option<br>(Right to<br>Buy)                | \$ 1.45   | 04/08/2019                           |   | M   |     | 12,144   | (3)                 | 01/09/2025  | Common<br>Stock | 12,144                              |

# **Reporting Owners**

Reporting Owner Name / Address

Director 10% Owner Officer Other

Director 10% Owner Officer

Lew Jennifer C/O ADURO BIOTECH, INC. 740 HEINZ AVENUE BERKELEY, CA 94710

Chief Financial Officer

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## **Signatures**

/s/ Jennifer Lew 04/10/2019

\*\*Signature of Date
Reporting Person

## **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 sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person on March 6, 2019.
  - The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$3.99 to \$4.15, inclusive. The Reporting Person undertakes to provide to the Issuer, any security holder of the Issuer, or the staff of the
- Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range.
- (3) The shares subject to the Option are fully vested and immediately exercisable.

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.

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