

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
☒ Officer ☐ Other
(give title below) (specify below)
SVP, GC and Secretary

6. Individual or Joint/Group
Filing(Check Applicable Line)
☒ 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 ⁽¹⁾

D

Â

Common Stock

6,563 ⁽²⁾

D

Â

Common Stock

3,282 ⁽³⁾

D

Â

Common Stock

15,350 ⁽⁴⁾

D

Â

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

SEC 1473 (7-02)

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information contained in this form are not
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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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