SEC Form 4

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

3235-0287 OMB Number: Estimated average burden hours ner resnonse 0.5

to Section 16.	Form 4 or Form 5 y continue. See	File	I pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940									
1. Name and Addr Haghighat F	ess of Reporting Per	'son [*]	2. Issuer Name and Ticker or Trading Symbol <u>ADURO BIOTECH, INC.</u> [ADRO]		all applicab Director	,	10% Owne	er				
(Last) C/O ADURO I 740 HEINZ AV	(First) BIOTECH, INC.	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 06/01/2020		Officer (giv below)	ve title	title Other (spec below)					
-	ENUE		4. If Amendment, Date of Original Filed (Month/Day/Year)	Line)		t/Group Filing	· · · ·	icable				
(Street) BERKELEY	CA	94710		X	Form filed by One Reporting Person Form filed by More than One Reporting Person							
(City)	(State)	(Zip)										

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	Transaction Code (Instr. 8)		4. Securities Disposed Of 5)	Acquired (D) (Instr	(A) or 3, 4 and	5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
					Amount (A) or (D)		Price	Reported Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	06/01/2020		A		34,124 ⁽¹⁾	A	\$ <mark>0</mark>	121,246 ⁽²⁾	D	
Common Stock								107,005	Ι	See Footnote ⁽³⁾
Common Stock								208,807	Ι	See Footnote ⁽⁴⁾

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. Transa Code (8)		on of		6. Date Exerc Expiration Da (Month/Day/Y	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

Explanation of Responses:

1. Represents Restricted Stock Units ("RSUs") that are fully vested.

2. Includes 34,124 RSUs. The Reporting Person is entitled to receive one (1) share of common stock for each one (1) RSU upon the vesting thereof.

3. The shares are directly held by Triton Systems, Inc. ("Triton"). The reporting person may be deemed to beneficially own the securities held by Triton. The Reporting Person is president, CEO, a director and a shareholder of Triton. The Reporting Person disclaims beneficial ownership of such securities except to the extent of any pecuniary interest therein.

4. The shares are directly held by Triton Holdings, LLC ("Holdings"). Triton is the managing member of Holdings. The Reporting Person is president, CEO, a director and a shareholder of Triton. The Reporting Person disclaims beneficial ownership of such securities except to the extent of any pecuniary interest therein.

/s/ Celeste Ferber, Attorney-06/03/2020 in-Fact for Ross Haghighat

** Signature of Reporting Person Date

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

* 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.