SEC Form 4	ŀ
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Series A

Preferred Stock

04/20/2015

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

r									
	OMB APPROVAL								
	OMB Number: 3235-028								
	Estimated average burden								
	hours per response:	0.5							

10% Owner

below)

Other (specify

7. Nature of

Beneficial Ownership (Instr. 4)

Indirect

By Turnpike

Properties, LLC⁽²⁾ By Triton

Holdings

Holdings

Holdings

Holdings

LLC⁽³⁾ By Triton Holdings

LLC⁽³⁾ By Triton

Systems, Inc.⁽⁴⁾ By Triton

Systems, Inc.⁽⁴⁾ By Triton

Systems, Inc.⁽⁴⁾

11. Nature

of Indirect

Beneficial

Ownership

(Instr. 4)

10.

Commor

Stock

(1)

206

206(5)

\$0.00

0

Ownership

or Indirect

(I) (Instr. 4)

D

LLC⁽³⁾ **By** Triton

LLC⁽³⁾ By Triton

LLC⁽³⁾ By Triton

F

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940 Instruction 1(b) 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer 1. Name and Address of Reporting Person* (Check all applicable) ADURO BIOTECH, INC. [ADRO] Haghighat Ross Director X Officer (give title below) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) 04/20/2015 C/O ADURO BIOTECH, INC. 626 BANCROFT WAY, 3C 4. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable Line) (Street) X Form filed by One Reporting Person 94710 BERKELEY CA Form filed by More than One Reporting Person (Citv) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 2A. Deemed 4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5) 6. Ownership Form: Direct 1. Title of Security (Instr. 3) 2. Transaction 5. Amount of Transaction Execution Date Date Securities (Month/Day/Year) if any (Month/Day/Year) Beneficially Owned Following (D) or Indirect (I) (Instr. 4) Code (Instr. 8) Reported (A) or (D) Transaction(s) Price Code v Amount (Instr. 3 and 4) Common Stock 04/20/2015 С (1) 14,762 206 A D 04/20/2015 (1) Common Stock С 5,562 A 12,162 I Common Stock 04/20/2015 С 1,908 A (1)4,172 I (1) Common Stock 04/20/2015 С 72.000 76.172 A I 202,039 Common Stock 04/20/2015 C A 278.211 T Common Stock 04/20/2015 С 68.559 (1) 346,770 A I 04/20/2015 С 26.637 (1) Common Stock 373,407 T A Common Stock 04/20/2015 С 8,480 A 18.544 Ι 04/20/2015 249,302 (1) Common Stock С A 267,846 I (1) 04/20/2015 С 745,463 Common Stock 477,617 A Ι Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 6. Date Exercisable and Expiration Date (Month/Day/Year) 1. Title of Derivative 5. Number of 9. Number of 3. Transaction 3A. Deemed 7. Title and Amount of 8. Price of 2. Conversion 4. Transaction Code (Instr. 8) Execution Date. Derivative Date Securities Underlying Derivative derivative Security (Instr. 3) or Exercise Price of if any (Month/Day/Year) Derivative Security (Instr. 3 and 4) Security (Instr. 5) Securities Beneficially Form: Direct (D) (Month/Day/Year) Securities Acquired (A) or Disposed of Derivative Owned (D) (Instr. 3, 4 and 5) Following Reported Security Transaction(s) Amount or Number of (Instr. 4) Date Expiration v (A) (D) Title Code Exercisable Date Shares

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)		3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	Transaction Code (Instr. 8)		5. Number of 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 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)	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		(Instr. 4)		
Series A Preferred Stock	(1)	04/20/2015		С			5,562	(1)	(1)	Common Stock	5,562 ⁽⁵⁾	\$0.00	0	I	By Turnpike Properties, LLC ⁽²⁾
Series A Preferred Stock	(1)	04/20/2015		с			8,480	(1)	(1)	Common Stock	8,480 ⁽⁵⁾	\$0.00	0	I	By Triton Systems, Inc. ⁽⁴⁾
Series A Preferred Stock	(1)	04/20/2015		С			1,908	(1)	(1)	Common Stock	1,908 ⁽⁵⁾	\$0.00	0	I	By Triton Holdings LLC ⁽³⁾
Series A-1 Preferred Stock	(1)	04/20/2015		с			249,302	(1)	(1)	Common Stock	249,302 ⁽⁵⁾	\$0.00	0	I	By Triton Systems, Inc. ⁽⁴⁾
Series A-1 Preferred Stock	(1)	04/20/2015		С			72,000	(1)	(1)	Common Stock	72,000 ⁽⁵⁾	\$0.00	0	I	By Triton Holdings LLC ⁽³⁾
Series B Preferred Stock	(1)	04/20/2015		С			477,617	(1)	(1)	Common Stock	477,617	\$0.00	0	I	By Triton Systems, Inc. ⁽⁴⁾
Series B Preferred Stock	(1)	04/20/2015		с			202,039	(1)	(1)	Common Stock	202,039	\$0.00	0	I	By Triton Holdings LLC ⁽³⁾
Series C Preferred Stock	(1)	04/20/2015		с			68,559	(1)	(1)	Common Stock	68,559	\$0.00	0	I	By Triton Holdings LLC ⁽³⁾
Series D Preferred Stock	(1)	04/20/2015		с			26,637	(1)	(1)	Common Stock	26,637	\$0.00	0	I	By Triton Holdings LLC ⁽³⁾
Series B Preferred Stock Warrant (right to buy)	\$1.1937	04/20/2015		D ⁽⁶⁾			3,373	04/15/2011	04/15/2016	Series B Preferred Stock	2,428	\$0.00	0	I	By Triton Systems, Inc. ⁽⁴⁾
Common Stock Warrant (right to buy)	\$1.66	04/20/2015		A ⁽⁶⁾		2,428		04/15/2011	04/15/2016	Common Stock	2,428	\$0.00	2,428	I	By Triton Systems, Inc. ⁽⁴⁾

Explanation of Responses:

1. Each share of Series A Preferred Stock, Series A-1 Preferred Stock, Series B Preferred Stock, Series C Preferred Stock, and Series D Preferred Stock automatically converted into 0.72 of a share of common stock immediately prior to the closing of the Issuer's initial public offering, and has no expiration date.

2. The shares are held by Turnpike Properties, LLC, over which the Reporting Person exercises voting and dispositive control.

3. The shares are held by Triton Holdings LLC, over which the Reporting Person exercises voting and dispositive control.

4. The shares are held by Triton Systems, Inc., over which the Reporting Person exercises voting and dispositive control.

5. Reflects 0.72-for-1 reverse stock split which became effective on April 1, 2015.

6. Pursuant to the terms of the Series B Preferred Stock Warrant (the "Old Warrant"), effective upon conversion of all outstanding shares of Series B Preferred Stock of the Issuer, the Old Warrant converts into a Warrant to purchase shares of Common Stock of the Issuer (the "New Warrant"). The two transactions reported in Table II above show the cancellation of the Old Warrant and acquisition of the New Warrant in connection with the automatic conversion of the Series B Preferred Stock into 0.72 of a share of common stock immediately prior to the closing of the Issuer's initial public offering.

Remarks:



04/22/2015

Date

** Signature of Reporting Person

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.

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