## Edgar Filing: Gallagher Carol Giltner - Form 4

Gallagher Car	rol Giltner										
Form 4											
November 17	, 2017										
FORM	<b>4</b>		CECUD	TTIEC A		<b></b>	NCE	COMMISSION		PPROVAL	
	UNITED	<b>STATES</b>		hington,			NGE (		OMB Number:	3235-0287	
Check this if no longe	ar .								Expires:	January 31, 2005	
subject to Section 16. Form 4 or				SECUR	ITIES				Estimated average burden hours per response		
Form 5 obligation may contin <i>See</i> Instruct 1(b).	s Section 17	(a) of the	Public Ut		ing Com	ipany	Act of	e Act of 1934, f 1935 or Sectio 40	n		
(Print or Type R	esponses)										
Gallagher Carol Giltner Symbo				Name and			-	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
(Last)	(First)	(Middle)	3. Date of Earliest Transaction (Chec					k all applicable)			
C/O ATARA INC., 611 GA	BIOTHERAP	EUTICS,	(Month/D	ay/Year)				X Director Officer (give below)		Owner er (specify	
				nendment, Date Original				6. Individual or Joint/Group Filing(Check			
SOUTH SAN			Filed(Mon	th/Day/Year)				Applicable Line) _X_ Form filed by ( Form filed by M Person	One Reporting Pe	erson	
(City)	(State)	(Zip)	Table	e I - Non-Do	erivative S	Secur	ities Acq	uired, Disposed of	f, or Beneficial	lly Owned	
1.Title of Security (Instr. 3)		n Date 2A. Deemed Year) Execution Date, if any (Month/Day/Year)		3.4. Securities AcquiredTransaction(A) or Disposed ofCode(D)(Instr. 8)(Instr. 3, 4 and 5)				Securities Beneficially Owned	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)		
				Code V	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)			
Common Stock	11/15/2017			М	1,549	A	\$ 0 (1)	110,105	D		
Common Stock	11/15/2017			М	817	A	\$ 0 (1)	110,922	D		
Common Stock	11/16/2017			S <u>(2)</u>	1,184	D	\$ 14.2	109,738	D		

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)

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#### required to respond unless the form displays a currently valid OMB control number.

#### 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. Transactic Code (Instr. 8)	5. Number onof 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 Underlying Securities (Instr. 3 and 4)		8. Pr Deriv Secu (Inst
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Restricted Stock Units	<u>(3)</u>	11/15/2017		М	1,549	<u>(4)</u>	(5)	Common Stock	1,549	\$
Restricted Stock Units	(3)	11/15/2017		М	817	<u>(6)</u>	(7)	Common Stock	817	\$

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
Gallagher Carol Giltner C/O ATARA BIOTHERAPEUTICS, INC. 611 GATEWAY BOULEVARD, SUITE 900 SOUTH SAN FRANCISCO, CA 94080	X					
Signatures						
/s/ Tina Gullotta, Attorney-in-Fact for Carol G. Gallagher	11/17/2017					
**Signature of Reporting Person		D	ate			

### \*\*Signature of 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) Shares issued upon settlement of vested restricted stock units.
- (2) Transaction pursuant to Rule 10b5-1 Plan adopted October 14, 2016.
- (3) Each restricted stock unit represents a contingent right to receive one share of the Issuer's common stock or a cash settlement.

(4)

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The restricted stock units ("RSUs") were granted with both (a) a liquidity event-based vesting condition and (b) a service-based vesting condition, both of which conditions must be satisfied in order for the RSUs to vest. The liquidity event-based condition was satisfied upon the closing of the Issuer's initial public offering (the "IPO"). The shares that vested on the closing date of the IPO, and the shares that vested thereafter through August 17, 2015, were settled on August 17, 2015. The service-based vesting condition provides that 1/48th of the total number of shares vest monthly from January 30, 2014, subject to the holder's continuous service through each such date.

(5) The earlier of (i) January 30, 2021 or (ii) the second anniversary of termination date.

The restricted stock units ("RSUs") were granted with both (a) a liquidity event-based vesting condition and (b) a service-based vesting condition, both of which conditions must be satisfied in order for the RSUs to vest. The liquidity event-based condition was satisfied(6) upon the closing of the Issuer's initial public offering (the "IPO"). The shares that vested on the closing date of the IPO, and the shares

- (6) upon the closing of the Issuer's initial public offering (the "IPO"). The shares that vested on the closing date of the IPO, and the shares that vested thereafter through August 17, 2015, were settled on August 17, 2015. The service-based vesting condition provides that 1/48th of the total number of shares vest monthly from March 25, 2014, subject to the holder's continuous service through each such date.
- (7) The earlier of (i) March 27, 2021 or (ii) the recipient's termination date.

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.