Rozenman Mary M. Form 4 July 17, 2017

# FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL** 

OMB Number:

3235-0287 January 31,

2005

0.5

Expires:

Estimated average burden hours per

response...

5. Relationship of Reporting Person(s) to

(Check all applicable)

Issuer

if no longer subject to Section 16. Form 4 or Form 5 obligations

may continue.

See Instruction

Check this box

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

2. Issuer Name and Ticker or Trading

Aimmune Therapeutics, Inc. [AIMT]

Symbol

1(b).

(Print or Type Responses)

Rozenman Mary M.

1. Name and Address of Reporting Person \*

| (Last)                                    | (First) (  |  |                                | Earliest Ti                             | ransaction              |        |                      |  |  | <b>,</b>  |  |
|---|--|--|--------------------------------|---|-------------------------|--------|----------------------|--|--|---|--|
|   |  |  | (Month/Day/Year)<br>07/13/2017 |   |                         |        |                      | Director 10% Owner _X Officer (give title Other (specify below) See Remarks  |  |   |  |
| (Street) 4. If Ame                        |  |  |                                | ndment, Da                              | ate Origina             | al     | 6                    | 6. Individual or Joint/Group Filing(Check  |  |   |  |
|   |  |  |                                | ` · · · · · · · · · · · · · · · · · · · |                         |        |                      | Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting                      |  |   |  |
| BRISBANE, CA 94005-1884                   |  |  |                                | Ī                                       |                         |        |                      | Person   |  |   |  |
| (City)                                    | (State) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned |  |                                |   |                         |        |                      |  | y Owned  |   |  |
| 1.Title of<br>Security<br>(Instr. 3)      | 2. Transaction Date<br>(Month/Day/Year)  | 2A. Deemec<br>Execution Dany<br>(Month/Day | Date, if                       | 3.<br>Transactio<br>Code<br>(Instr. 8)  | mr Dispos<br>(Instr. 3, | sed of |                      | 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 Indirect Beneficial Ownership (Instr. 4) |  |
| Common<br>Stock,<br>\$0.0001<br>par value | 07/13/2017   |  |                                | M                                       | 8,974                   | A      | \$ 3.022             | 9,103  | D  |   |  |
| Common<br>Stock,<br>\$0.0001<br>par value | 07/13/2017   |  |                                | S <u>(1)</u>                            | 8,974                   | D      | \$<br>21.4685<br>(2) | 129  | D  |   |  |
| Common<br>Stock,<br>\$0.0001              | 07/14/2017   |  |                                | M                                       | 5,666                   | A      | \$ 3.022             | 5,795  | D  |   |  |

#### Edgar Filing: Rozenman Mary M. - Form 4

| par value                                 |            |              |       |   |                      |     |   |
|---|------------|--------------|-------|---|----------------------|-----|---|
| Common<br>Stock,<br>\$0.0001<br>par value | 07/14/2017 | S <u>(1)</u> | 5,666 | D | \$<br>21.3863<br>(3) | 129 | D |
| Common<br>Stock,<br>\$0.0001<br>par value | 07/17/2017 | M            | 300   | A | \$ 3.022             | 429 | D |
| Common<br>Stock,<br>\$0.0001<br>par value | 07/17/2017 | S <u>(1)</u> | 300   | D | \$ 21.38             | 129 | D |

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

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 control number.

SEC 1474 (9-02)

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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<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transactic<br>Code<br>(Instr. 8) | Cransaction Derivative Code Securities |       | 6. Date Exerc<br>Expiration D<br>(Month/Day/ | ate                | 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<br>Shares |
| Stock<br>Option<br>(right to<br>buy)                | \$ 3.022  | 07/13/2017                              |   | M                                      | :                                      | 8,974 | <u>(4)</u>                                   | 04/17/2025         | Common<br>Stock   | 8,974                                  |
| Stock<br>Option<br>(right to<br>buy)                | \$ 3.022  | 07/14/2017                              |   | M                                      | :                                      | 5,666 | <u>(4)</u>                                   | 04/17/2025         | Common<br>Stock   | 5,666                                  |
| Stock<br>Option<br>(right to<br>buy)                | \$ 3.022  | 07/17/2017                              |   | M                                      |  | 300   | <u>(4)</u>                                   | 04/17/2025         | Common<br>Stock   | 300                                    |

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Rozenman Mary M. AIMMUNE THERAPEUTICS, INC. 8000 MARINA BOULEVARD, SUITE 300 BRISBANE, CA 94005-1884

See Remarks

## **Signatures**

/s/ Douglas T. Sheehy, as Attorney-in-Fact for Mary M. Rozenman

07/17/2017

\*\*Signature of Reporting Person

Date

# **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 sale reported in the Form 4 was effected pursuant to a Rule 10b5 1 trading plan adopted by the Reporting Person.
- The transaction was executed in multiple trades in prices ranging from \$21.38 to \$21.59, inclusive. The price reported in Column 4 above (2) reflects the weighted average sale price. The Reporting Person hereby undertakes to provide upon request to the SEC staff, the Issuer, or a stockholder of the Issuer, information regarding the number of shares and prices at which the transaction was effected.
- The transaction was executed in multiple trades in prices ranging from \$21.38 to \$21.44, inclusive. The price reported in Column 4 above (3) reflects the weighted average sale price. The Reporting Person hereby undertakes to provide upon request to the SEC staff, the Issuer, or a stockholder of the Issuer, information regarding the number of shares and prices at which the transaction was effected.
  - The option is immediately exercisable in full or in part. The shares vest pursuant to the following schedule: Twenty Five Percent (25%) of the shares subject to the option vest on the first anniversary measured from February 1, 2015 (the "Vesting Commencement Date") and
- the remaining shares subject to the option vest in 36 successive, equal monthly installments thereafter on each monthly anniversary of the Vesting Commencement Date, subject to Reporting Person's continued service relationship with the Issuer on each such vesting date.

#### **Remarks:**

Senior VP, Corporate Development and Strategy

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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