SEC Form 4

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FORM 4

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

Check this box if no longer subject to
Section 16. Form 4 or Form 5
obligations may continue. See
Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

OMB APPROVAL									
OMB Number: 3235-0287									
Estimated average burden									
hours per response:	0.5								

1. Name and Address of Reporting Person [*] Wolchko J Scott		Person [*]	2. Issuer Name and Ticker or Trading Symbol <u>FATE THERAPEUTICS INC</u> [FATE]		5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
			[]	X	Director	10% Owner				
· ·			—	- x	Officer (give title	Other (specify				
(Last) (First) (Middle)			3. Date of Earliest Transaction (Month/Day/Year)	1	below)	below)				
C/O FATE THERAPEUTICS, INC.;		, INC.;	12/19/2019		President an	d CEO				
3535 GENERAL ATOMICS COURT #200		COURT #200								
			4. If Amendment, Date of Original Filed (Month/Day/Year)		vidual or Joint/Group Fili	ng (Check Applicable				
(Street)				Line)						
SAN DIEGO	CA	92121		X	Form filed by One Re	porting Person				
,					Form filed by More th Person	an One Reporting				
(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)	3. Transa Code (4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
		(Monthi/Day/rear)	8) Code	v	Amount	(A) or Price		Reported Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	12/19/2019		M ⁽¹⁾		25,000	A	\$2.7	378,969	D	
Common Stock	12/19/2019		S ⁽¹⁾		25,000	D	\$20.0759 ⁽²⁾	353,969	D	
Common Stock	12/20/2019		M ⁽¹⁾		25,000	A	\$2.7	378,969	D	
Common Stock	12/20/2019		S ⁽¹⁾		25,000	D	\$20.1663 ⁽³⁾	353,969	D	

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

	(e.g., puls, cans, 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)		of		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) (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				
Stock Option (right to buy)	\$2.7	12/19/2019		M ⁽¹⁾			25,000	(4)	01/11/2026	Common Stock	25,000	(5)	164,600	D	
Stock Option (right to buy)	\$2.7	12/20/2019		M ⁽¹⁾			25,000	(4)	01/11/2026	Common Stock	25,000	(5)	139,600	D	

Explanation of Responses:

1. This transaction was effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on July 19, 2019.

2. Represents the weighted average sale price of the shares sold ranging from \$20.00 to \$20.71 per share. The Reporting Person will provide, upon request by the Commission staff, the Issuer, or a security holder of the Issuer, full information regarding the number of shares sold at each price.

3. Represents the weighted average sale price of the shares sold ranging from \$20.00 to \$20.38 per share. The Reporting Person will provide, upon request by the Commission staff, the Issuer, or a security holder of the Issuer, full information regarding the number of shares sold at each price.

4. The shares subject to this option vested and became exercisable in 48 equal monthly installments beginning on January 1, 2016 such that this option was fully exercisable on December 1, 2019.

5. Not applicable.

Remarks:

/s/ Cindy R. Tahl, as Attorney-

in-Fact

12/23/2019

** 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.