### 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

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| hours per response:    | 0.5       |

|   | ss of Reporting Perso | n*       | 2. Issuer Name <b>and</b> Ticker or Trading Symbol NantKwest, Inc. [NK] |   | tionship of Reporting Per<br>all applicable) | son(s) to Issuer         |
|---|-----------------------|----------|---|---|--|--------------------------|
| Thomas John C         (Last)       (First)       (Middle)         C/O NANTKWEST, INC.       3530 JOHN HOPKINS COURT |                       |          |   | X   | Director                                     | 10% Owner                |
|   |                       | (Middle) | 3. Date of Earliest Transaction (Month/Day/Year)<br>12/13/2019          |   | Officer (give title below)                   | Other (specify<br>below) |
|   |                       |          | 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 Rep                        | orting Person            |
| SAN DIEGO   | CA                    | 92121    |   |   | Form filed by More that<br>Person            | n One Reporting          |
| (City)  | (State)               | (Zip)    |   |   |  |                          |

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

| 1. Title of Security (Instr. 3) | 2. Transaction<br>Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | Code (                  | Transaction Disposed Of (D) (Instr. 3, 4 a<br>Code (Instr. 5) |        |               | 5. Amount of<br>Securities<br>Beneficially<br>Owned Following | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership |                                |
|---------------------------------|--|---|-------------------------|---|--------|---------------|---|---|---|--------------------------------|
|                                 |  |   | Code                    | v   | Amount | (A) or<br>(D) | Price   | Reported<br>Transaction(s)<br>(Instr. 3 and 4)                    |   | (Instr. 4)                     |
| Common Stock                    | 12/13/2019                                 |   | <b>S</b> <sup>(1)</sup> |   | 10,000 | D             | \$2.48  | 350,069   | D   |                                |
| Common Stock                    | 12/13/2019                                 |   | <b>S</b> <sup>(1)</sup> |   | 10,000 | D             | \$2.98  | 340,069   | D   |                                |
| Common Stock                    | 12/16/2019                                 |   | <b>S</b> <sup>(1)</sup> |   | 10,000 | D             | \$3.14  | 330,069   | D   |                                |
| Common Stock                    |  |   |                         |   |        |               |   | 13,886  | Ι   | See<br>footnote <sup>(2)</sup> |

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<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4.<br>Transa<br>Code (<br>8) |   | of Expir |     | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 7. Title and<br>Amount of<br>Securities<br>Underlying<br>Derivative<br>Security (Instr. 3<br>and 4) |  | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 4) | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---|---|--|---|------------------------------|---|----------|-----|--|--------------------|---|--|---|--|--|--|
|   |   |  |   | Code                         | v | (A)      | (D) | Date<br>Exercisable  | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares |   |  |  |  |

Explanation of Responses:

1. The sales reported were effected pursuant to a Rule 10b5-1 trading plan adopted on September 5, 2019 by the reporting person.

2. Reported shares held by the John C Thomas Jr. Trustee Susan T Thomas U/W DTD 5/10/96.

**Remarks:** 

/s/ Sonja Nelson, as Attorney-

in-Fact

12/16/2019

\*\* 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.