SEC Form 4

FORM 4

Check this box if no longer subject to

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

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

Section 16. Form 4 or Form 5 obligations may continue. See										• • • •		ated av	erage burden	0.5					
	tion 1(b).			File	ed pu	rsuant or Sect	t to Sectio	n 16(of the	a) of the S	ecuri nt Co	ties Exchar	nge Act of of 1940	1934		Indurs	perres	sponse:	0.5	
1. Name and Address of Reporting Person* <u>Thomas John C</u>				or Section 30(h) of the Investment Company Act of 1940 2. Issuer Name and Ticker or Trading Symbol NantKwest, Inc.						(Che	5. Relationship of Reporting Person(s) to Iss (Check all applicable) X Director 10% O								
	NTKWEST		(Middle)				3. Date of Earliest Transaction (Month/Day/Year) 06/10/2020							Officer (give title below)			Other (s below)	pecify	
3530 JO	HN HOPKI	INS COURT			4.	lf Ame	endment, I	Date	of Original	Filed	i (Month/Da	ıy/Year)		dividual or Jo	oint/Group	Filing	(Check App	licable	
(Street) SAN DII	EGO C	A	92121							Line	 Form filed by One Reporting Person Form filed by More than One Reporting Person 								
(City)	(9	State)	(Zip)																
		Та	ble I - Nor	n-Deriv	/ativ	/e Se	curitie	s Ac	quired	Dis	sposed c	of, or B	eneficially	y Owned					
1. Title of Security (Instr. 3) 2. Trans. Date (Month/L				Day/Year) if any		if any	ecution Date,		, Transaction Disposed Code (Instr.		rities Acquired (A) o ed Of (D) (Instr. 3, 4		Beneficia Owned Fe	s Form ally (D) o ollowing (I) (Ir		: Direct I Indirect E str. 4)	7. Nature of Indirect Beneficial Ownership		
									v	Amount	(A) (D)	or Price	Reported Transacti (Instr. 3 a	ion(s)			(Instr. 4)		
			Table II - I								osed of, converti			Owned			<u> </u>		
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Da if any (Month/Day/Y	Co	4. 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		Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Beneficial Ownership (Instr. 4)	
				Ca	ode	v	(A)	(D)	Date Exercisa		Expiration Date	Title	Amount or Number of Shares		(Instr. 4)	1011(5)			
Stock Option (right to buy)	\$6.21	06/10/2020			A		100,000		(1)		06/10/2030	Commor Stock	100,000	\$0.00	100,0	00	D		

Explanation of Responses:

1. Subject to the reporting person's continuing to be a Service Provider (as defined in the 2015 Equity Incentive Plan) through such applicable vesting date, one hundred percent (100%) of the shares subject to the award will vest on the earlier to occur of June 10, 2021 or the date immediately preceding the 2021 annual meeting of stockholders.

Remarks:

/s/ Sonja Nelson, as Attorneyin-Fact

06/11/2020

** 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.