CytomX Therapeutics, Inc. Form 4

October 03, 2016

## 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

### STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES**

obligations may continue. See Instruction

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

1(b).

(Zin)

(Print or Type Responses)

1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading Goeltz II Robert C. Issuer Symbol CytomX Therapeutics, Inc. [CTMX] (Check all applicable) (First) (Middle) 3. Date of Earliest Transaction (Last) (Month/Day/Year) Director 10% Owner Other (specify \_X\_\_ Officer (give title 343 OYSTER POINT 09/29/2016 below) BLVD, SUITE 100 Chief Financial Officer (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting **SOUTH SAN** Person

FRANCISCO, CA 94080

(State)

(City)

| (City)          | (State)             | Tabl               | le I - Non-I                      | Derivative S             | Secur     | rities Acqu  | ired, Disposed of | , or Beneficiall | y Owned      |
|-----------------|---------------------|--------------------|-----------------------------------|--------------------------|-----------|--------------|-------------------|------------------|--------------|
| 1.Title of      | 2. Transaction Date | 2A. Deemed         | 3.                                | 4. Securition            | es A      | cquired      | 5. Amount of      | 6.               | 7. Nature of |
| Security        | (Month/Day/Year)    | Execution Date, if | Transaction(A) or Disposed of (D) |                          |           | Securities   | Ownership         | Indirect         |              |
| (Instr. 3)      |                     | any                | Code                              | Code (Instr. 3, 4 and 5) |           |              | Beneficially      | Form: Direct     | Beneficial   |
|                 |                     | (Month/Day/Year)   | (Instr. 8)                        |                          |           |              | Owned             | (D) or           | Ownership    |
|                 |                     |                    |                                   |                          |           |              | Following         | Indirect (I)     | (Instr. 4)   |
|                 |                     |                    |                                   | ( )                      | (A)       |              | Reported          | (Instr. 4)       |              |
|                 |                     |                    |                                   |                          | (A)       |              | Transaction(s)    |                  |              |
|                 |                     |                    | Code V                            | Amount                   | or<br>(D) | Price        | (Instr. 3 and 4)  |                  |              |
| Common<br>Stock | 09/29/2016          |                    | M                                 | 4,000                    | A         | \$<br>4.4728 | 6,000             | D                |              |

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

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

**OMB APPROVAL** 

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| 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) | 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<br>Underlying Securities<br>(Instr. 3 and 4) |  |
|---|---|---|---|--|---|--|--------------------|---|--|
|   |   |   |   | Code V                                 | (A) (D)   | Date<br>Exercisable                                      | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares |
| Employee<br>Stock<br>Option<br>(right to<br>buy)    | \$ 4.4728   | 09/29/2016                              |   | M                                      | 4,000   | <u>(1)</u>   | 05/06/2025         | Common<br>Stock   | 4,000                                  |

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Goeltz II Robert C. 343 OYSTER POINT BLVD SUITE 100 SOUTH SAN FRANCISCO, CA 94080

Chief Financial Officer

## **Signatures**

/s/ Cynthia J. Ladd, as Attorney-in-Fact for Robert C. Goeltz II

10/03/2016

\*\*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) This option vests 25% on May 4, 2016, and the remaining 75% vests in 36 substantially equal monthly installments thereafter, with each additional installment vesting on the last day of the month, except the final installment, which shall vest on May 4, 2019.

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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