### Edgar Filing: BELLICUM PHARMACEUTICALS, INC - Form 4/A

#### BELLICUM PHARMACEUTICALS, INC

Form 4/A June 19, 2015

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

OMB 3235-0287 Number:

Check this box if no longer subject to Section 16.

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

January 31, Expires: 2005 Estimated average

**OMB APPROVAL** 

Form 4 or Form 5 obligations may continue.

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

burden hours per response... 0.5

See Instruction 1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \*

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to Issuer

Spencer David M.

Symbol

**BELLICUM** PHARMACEUTICALS, INC

[BLCM]

Director

10% Owner

(Check all applicable)

Chief Scientific Officer

(Last)

C/O BELLICUM

(First) (Middle)

(Zip)

3. Date of Earliest Transaction

below)

X\_ Officer (give title Other (specify

(Month/Day/Year) 06/16/2015

PHARMACEUTICALS, INC., 2130 W. HOLCOMBE BLVD., STE. 800

(State)

(Street) 4. If Amendment, Date Original

> Filed(Month/Day/Year) Applicable Line)

06/18/2015

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

6. Individual or Joint/Group Filing(Check

D

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

HOUSTON, TX 77030

(City)

						-	•		•
1.Title of	2. Transaction Date	2A. Deemed	3.	4. Securit	ies Acqu	ired (A)	5. Amount of	6.	7. Nature of
Security	(Month/Day/Year)	Execution Date, if	f Transaction Disposed of (D)				Securities	Ownership	Indirect
(Instr. 3)		any	Code	(Instr. 3, 4 and 5)			Beneficially	Form:	Beneficial
		(Month/Day/Year)	(Instr. 8)				Owned	Direct (D)	Ownership
							Following	or Indirect	(Instr. 4)
					(4)		Reported	(I)	
					(A)		Transaction(s)	(Instr. 4)	
					or	~ .	(Instr. 3 and 4)		
			Code V	Amount	(D)	Price	, ,		

\$ Common 06/16/2015  $S^{(1)}$ D 17,200 D 22.8227  $166,400 \frac{(3)}{}$ Stock (2)

\$ Common  $S^{(1)}$ 06/16/2015 D 2,800 Stock

23.7939  $163,600 \frac{(3)}{}$ (4)

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

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SEC 1474 (9-02)

> 9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr

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

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	cisable and	7. Tit	le and	8. Price of	1
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	TransactionNumber		Expiration Date		Amount of		Derivative	
Security	or Exercise		any (Month/Day/Year)	Code (Instr. 8)	of	(Month/Day/	(Month/Day/Year)		rlying	Security	
(Instr. 3)	Price of				) Derivativ	,		Securities (Instr. 3 and 4)		(Instr. 5)	į
	Derivative				Securities	;					
	Security				Acquired						1
					(A) or						1
					Disposed						
					of (D)						
					(Instr. 3,						
					4, and 5)						
									<b>A</b>		
									Amount		
						Date Expiration Exercisable Date	Expiration		or		
							Title Numbe	Number			
				~					of		
				Code \	(A) (D)				Shares		

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Spencer David M. C/O BELLICUM PHARMACEUTICALS, INC. 2130 W. HOLCOMBE BLVD., STE. 800 HOUSTON, TX 77030

Chief Scientific Officer

## **Signatures**

/s/ Ken Moseley, Attorney-in-Fact

**(4)** 

06/19/2015 Date

\*\*Signature of Reporting Person

# **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 sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person on March 23, 2015.
- The price reported is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$22.52 to \$23.51.
- (2) The reporting person undertakes to provide to the Issuer, any security holder of the Issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth above.
- (3) Includes 846 shares acquired under the Issuer's Employee Stock Purchase Plan on June 10, 2015. These shares were inadvertently omitted from the Reporting Person's original Form 4 filed with the SEC on June 18, 2015

Reporting Owners

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The price reported is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$23.52 to \$24.07. The reporting person undertakes to provide to the Issuer, any security holder of the Issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth above.

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.