Altmeyer Mark Form 4 March 16, 2018

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

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

(Print or Type Responses)

1(b).

(Last)

(City)

(Instr. 3)

1. Name and Address of Reporting Person \* Altmeyer Mark

> (First) (Middle)

2. Issuer Name and Ticker or Trading Symbol

Axovant Sciences Ltd. [AXON]

3. Date of Earliest Transaction

(Month/Day/Year) 03/15/2018

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Pres (ASG) & Chief Comm. Ofc.

OMB

Number:

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response...

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**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

C/O AXOVANT SCIENCES. INC.., 11 TIMES SQUARE, 33RD **FLOR** 

(Street)

(State)

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Applicable Line)

below)

Director

X\_ Officer (give title

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

NEW YORK, NY 10036

1. Title of 2. Transaction Date 2A. Deemed Security

(Month/Day/Year) Execution Date, if (Month/Day/Year)

(Zip)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 3, 4 and 5) (Instr. 8)

5. Amount of Securities Beneficially Owned Following Reported

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

6. Ownership Form: Direct (I) (Instr. 4)

7. Nature of Indirect (D) or Indirect Beneficial Ownership (Instr. 4)

(9-02)

10% Owner Other (specify

(A) Transaction(s) or (Instr. 3 and 4) Code V Amount (D) Price

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)

1. Title of Derivative Conversion

3. Transaction Date 3A. Deemed

(Month/Day/Year) Execution Date, if

5. Number of TransactionDerivative

6. Date Exercisable and **Expiration Date** 

7. Title and Amount of **Underlying Securities** 

#### Edgar Filing: Altmeyer Mark - Form 4

Security (Instr. 3)	or Exercise Price of Derivative Security		any (Month/Day/Year)	Code (Instr. 8)	Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		Year)	(Instr. 3 and	4)
				Code V	(A) (D	) Date Exercisable	Expiration Date	Title	Amount Number Shares
Employee Stock Option (Right to Buy)	\$ 1.46	03/15/2018		A	340,000	(1)(2)	03/15/2028	Common Shares	340,00
Employee Stock Option (Right to Buy)	\$ 1.46	03/15/2018		A	100,000	(2)(3)	03/15/2028	Common Shares	100,00

# **Reporting Owners**

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
Altmeyer Mark C/O AXOVANT SCIENCES, INC., 11 TIMES SQUARE, 33RD FLOR NEW YORK, NY 10036			Pres (ASG) & Chief Comm. Ofc.				

## **Signatures**

/s/ Gregory Weinhoff, Attorney-in-Fact 03/16/2018

\*\*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).
- The option vests over a period of four years, with one quarter of the common shares underlying the option vesting on March 15, 2019 and (1) the remainder vesting in twelve equal quarterly installments thereafter, subject to the Reporting Person providing continuous service to the Issuer as of each such date.
- The option allows for early exercise, subject to the Issuer's repurchase option with respect to any unvested common shares. All common (2) shares underlying the option will become fully vested upon a change in control, as that term is defined in the Issuer's 2015 Equity Incentive Plan.
- One-third of the option will vest at such time as the Issuer's stock price is equal to \$4.38; one-third of the option will vest at such time as the Issuer's stock price is equal to \$7.30, and one-third of the option will vest at such time as the Issuer's stock price is equal to \$10.22, in each case subject to the Reporting Person providing continuous service to the Issuer on each such date.

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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