Yi Kathy Form 4 November 16, 2018

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL** 

**OMB** Number:

3235-0287

Expires:

January 31, 2005

0.5

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if no longer subject to Section 16. Form 4 or Form 5

obligations

Check this box

may continue.

See Instruction

(Middle)

(Zip)

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).

(Print or Type Responses)

1. Name and Address of Reporting Person \* Yi Kathy

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to

Issuer

Symbol SANGAMO THERAPEUTICS, INC

[SGMO]

(Check all applicable)

SVP & Chief Financial Officer

11/15/2018

(Last) (First) 3. Date of Earliest Transaction (Month/Day/Year)

Director 10% Owner X\_ Officer (give title

Other (specify below)

C/O SANGAMO THERAPEUTICS. INC., POINT RICHMOND TECH

(Street)

(State)

CTR, 501 CANAL BLVD.

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check

Applicable Line)

Filed(Month/Day/Year)

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

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

RICHMOND, CA 94804

1.Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3) (Month/Day/Year)

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

6. Ownership 7. Nature of Form: Direct Indirect Securities Beneficially (D) or Beneficial Owned Indirect (I) Ownership Following (Instr. 4) (Instr. 4) Reported

or Code V Amount (D) Price

Transaction(s) (Instr. 3 and 4)

12,250 M 5,000 4.55

(A)

D

Common Stock

Common

Stock

(City)

11/15/2018

11/15/2018

 $S^{(1)}$ \$ 10 7,250 (2) 5,000 D

D

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

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**SEC 1474** (9-02)

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### Edgar Filing: Yi Kathy - Form 4

# 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 Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transactio<br>Code<br>(Instr. 8) | 5. Number of Derivati Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | we Expiration (Month/Day | 6. Date Exercisable and Expiration Date (Month/Day/Year) |                 | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) |  |
|---|---|---|---|--|---|--------------------------|--|-----------------|---|--|
|   |   |   |   | Code V                                 | (A) (D)   | Date<br>Exercisable      | Expiration<br>Date                                       | Title           | Amount<br>or<br>Number<br>of<br>Shares                        |  |
| Stock<br>Option<br>(Right to<br>Buy)                | \$ 4.55   | 11/15/2018                              |   | M                                      | 5,00  | 0 (3)                    | 02/27/2027   | Common<br>Stock | 5,000   |  |

# **Reporting Owners**

Reporting Owner Name / Address

Director 10% Owner Officer Other

Yi Kathy C/O SANGAMO THERAPEUTICS, INC. POINT RICHMOND TECH CTR, 501 CANAL BI VD

BLVD. RICHMOND, CA 94804 SVP & Chief Financial Officer

8. I De Sec

## **Signatures**

/s/ Denise Winn, Attorney-in-Fact for Kathy Yi

\*\*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) The sale reported in this Form 4 was effected pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person on August 14, 2017.

11/16/2018

- Represents 7,250 shares subject to restricted stock units granted on January 24, 2018 that will vest in three (3) equal annual installments (2) on each anniversary of the grant date, such that they will be vested in full on the third (3rd) anniversary of the grant date, subject to the Reporting Person's continued service with the Issuer through such date.
- One-quarter (1/4) of the option shares vested and became exercisable upon completion of one (1) year of service by the Reporting Person (3) measured from February 27, 2017, and the remainder will vest and become exercisable in equal monthly installments for thirty-six (36) months thereafter, provided that the Reporting Person remains in service with the Issuer through each such monthly vesting 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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