La Barge Joseph Form 4 November 13, 2017

# 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).

(Print or Type Responses)

(Last)

1. Name and Address of Reporting Person \* La Barge Joseph

(Middle)

2. Issuer Name and Ticker or Trading Symbol

Spark Therapeutics, Inc. [ONCE]

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

11/09/2017

3737 MARKET STREET, SUITE 1300

(Street)

(First)

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

5. Relationship of Reporting Person(s) to Issuer

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

OMB

Number:

Expires:

response...

Estimated average

burden hours per

(Check all applicable)

Director 10% Owner X\_ Officer (give title Other (specify below)

Chief Legal Officer

6. Individual or Joint/Group Filing(Check Applicable Line)

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

Person

#### PHILADELPHIA, PA 19104

(City)	(State)	(Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned									
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)			d of (D)	5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
			Code V	Amount	or	Price	Transaction(s) (Instr. 3 and 4)				
Common Stock	11/09/2017		M	2,821	A	\$ 3.45	8,146	D			
Common Stock	11/09/2017		M	488	A	\$ 3.45	8,634	D			
Common Stock	11/13/2017		M	2,191	A	\$ 3.45	10,825	D			
Common Stock	11/09/2017		S(1)	3,109	D	\$ 71.27 (2)	7,716	D			
Common Stock	11/09/2017		S <u>(1)</u>	200	D	\$ 71.9	7,516	D			

## Edgar Filing: La Barge Joseph - Form 4

Common Stock	11/13/201	7	S <u>(1)</u>	2,191	D 7	§ 71.65 5	5,325	D		
Common Stock						2	200	I	Held by Reporting Person's immediate family members	
Reminder: Re	eport on a sepa	rate line for each class	s of securities benefi	cially own	ed dire	ctly or inc	lirectly.			
				Person informa require	s who ation ed to r	o respon containe espond	d to the colled in this for unless the fovalid OMB c	m are not orm	SEC 1474 (9-02)	
			ive Securities Acquits, calls, warrants,					ed		
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	Code	ransaction of Derivative ode Securities		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 Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option (right to buy)	\$ 3.45	11/09/2017		M		2,821	<u>(4)</u>	06/09/2024	Common Stock	2,821
Employee Stock Option (right to buy)	\$ 3.45	11/09/2017		M		488	<u>(5)</u>	07/01/2024	Common Stock	488
Employee Stock Option (right to buy)	\$ 3.45	11/13/2017		M		2,191	<u>(4)</u>	06/09/2024	Common Stock	2,191

### **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

La Barge Joseph 3737 MARKET STREET SUITE 1300 PHILADELPHIA, PA 19104

Chief Legal Officer

#### **Signatures**

/s/ Joseph W. La Barge

11/13/2017

\*\*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 sales reported in the Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on February 28, 2017.
- The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$70.80 to \$71.65, inclusive. The reporting person undertakes to provide to Spark Therapeutics, Inc., any security holder of Spark Therapeutics, Inc., 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 ranges set forth in footnote (2) to this Form 4.
- The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$71.33 to \$71.81, inclusive. The reporting person undertakes to provide to Spark Therapeutics, Inc., any security holder of Spark Therapeutics, Inc., 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 ranges set forth in footnote (3) to this Form 4.
- (4) 25% vests November 11, 2014 and the remainder vests in equal quarterly installments over the following three years following November 11, 2014.
- (5) 25% vests May 24, 2015 and the remainder vests in equal quarterly installments over the following three years following May 24, 2015.

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.

Reporting Owners 3