NantKwest, Inc. Form 3 November 20, 2015

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

Expires:

response...

January 31, 2005

0.5

Estimated average burden hours per

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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

**SECURITIES** 

30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting

Person \*

Wilson Angela

(Last)

(First) (Middle)

Statement

(Month/Day/Year)

11/13/2015

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

NantKwest, Inc. [NK]

(Check all applicable)

(give title below) (specify below)

Chief Financial Officer

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

C/O NANTKWEST, INC.. 3530 JOHN HOPKINS

COURT

(Street)

Director \_X\_\_ Officer

10% Owner Other

6. Individual or Joint/Group Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One Reporting Person

SAN DIEGO. CAÂ 92121

(City) (State) (Zip)

1. Title of Security (Instr. 4)

Table I - Non-Derivative Securities Beneficially Owned 2. Amount of Securities

Beneficially Owned (Instr. 4)

3. Ownership 4. Nature of Indirect Beneficial

Ownership (Instr. 5) Form:

Direct (D) or Indirect (I) (Instr. 5)

Reminder: Report on a separate line for each class of securities beneficially

owned directly or indirectly.

SEC 1473 (7-02)

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

1. Title of Derivative Security

(Instr. 4)

2. Date Exercisable and **Expiration Date** (Month/Day/Year)

3. Title and Amount of Securities Underlying Derivative Security

Conversion or Exercise Price of

4.

5. Ownership Form of Derivative

6. Nature of Indirect Beneficial Ownership (Instr. 5)

(Instr. 4)

**Expiration Title** Exercisable Date

Amount or Number of

Derivative Security: Security Direct (D) Edgar Filing: NantKwest, Inc. - Form 3

Shares or Indirect
(I)
(Instr. 5)

Restricted Stock Units  $\hat{A} \stackrel{(1)}{=} \hat{A} \stackrel{(1)}{=} \frac{Common}{Stock} 35,000 \$ \stackrel{(2)}{=} D \hat{A}$ 

## **Reporting Owners**

Reporting Owner Name / Address

Director 10% Owner Officer Other

Wilson Angela
C/O NANTKWEST, INC.
3530 JOHN HOPKINS COURT
SAN DIEGO, CAÂ 92121

## **Signatures**

/s/ Angela
Wilson

\*\*Signature of Reporting Person

Date

## **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 5(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).
  - Subject to the reporting person's continuing to be a Service Provider (as defined in the 2015 Equity Incentive Plan) through each
- (1) applicable vesting date, the restricted stock units ("RSUs") will vest as follows: 50% of the RSUs will vest on November 10, 2017, and 50% of the RSUs will vest on November 10, 2019.
- (2) Each restricted stock unit represents a contingent right to receive one share of NantKwest, Inc. common stock.

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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