

Adaptimmune Therapeutics PLC

Form 3

January 04, 2016

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104

Expires: January 31, 2005

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**INITIAL STATEMENT OF 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. Name and Address of Reporting Person \*

Sigal Charles Elliott

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

01/01/2016

3. Issuer Name and Ticker or Trading Symbol

Adaptimmune Therapeutics PLC [ADAP]

4. Relationship of Reporting Person(s) to Issuer

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

32 BREARLY ROAD

(Street)

(Check all applicable)

☒ Director ☐ 10% Owner  
☐ Officer ☐ Other  
(give title below) (specify below)

6. Individual or Joint/Group Filing(Check Applicable Line)  
☒ Form filed by One Reporting Person  
☐ Form filed by More than One Reporting Person

PRINCETON, NJ 08540

(City)

(State)

(Zip)

**Table I - Non-Derivative Securities Beneficially Owned**

1. Title of Security (Instr. 4)

2. Amount of Securities Beneficially Owned (Instr. 4)

3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)

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

Ordinary Shares with a nominal value of GBP0.001 per share <sup>(1)</sup>

254,100

I

Shares held by Sigal Family Investments, LLC

Ordinary Shares with a nominal value of GBP0.001 per share <sup>(2)</sup>

52,938

D

A

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

4. Conversion or Exercise

5. Ownership Form of

6. Nature of Indirect Beneficial Ownership

## Edgar Filing: Adaptimmune Therapeutics PLC - Form 3

	Date Exercisable	Expiration Date	(Instr. 4) Title	Amount or Number of Shares	Price of Derivative Security	Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	(Instr. 5)
Option to purchase Ordinary Shares	Â (3)	03/16/2025	Ordinary Shares	519,481	\$ 0.74 (4)	D	Â
Option to purchase Ordinary Shares	05/11/2015	05/11/2025	Ordinary Shares	24,596	\$ 2.8379 (5)	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Sigal Charles Elliott 32 BREARLY ROAD PRINCETON,Â NJÂ 08540	Â X	Â	Â	Â

## Signatures

/s/ Charles Elliott Sigal Name: Charles Elliott  
Sigal 01/04/2016

\_\_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).

Dr. Sigal is a manager of Sigal Family Investments, LLC. Dr. Sigal may be deemed to have voting and investment power over the shares held by Sigal Family Investments, LLC. Dr. Sigal disclaims beneficial ownership of such shares except to the extent of any pecuniary interest therein.

(2) Represented by 8,823 American Depositary Shares ("ADSs") held by Dr. Sigal. Dr. Sigal holds these Ordinary Shares in the form of ADSs. Each ADS represents six Ordinary Shares of Adaptimmune Therapeutics plc.

(3) Exercisable as to 129,870 Ordinary Shares on March 16, 2016 and will be exercisable as to the remainder in monthly installments of 10,822 Ordinary Shares on the sixteenth of each month from April 16, 2016 through February 16, 2019, and in one installment of 10,841 Ordinary Shares on March 16, 2019.

(4) The exercise price was converted from GBP0.50 based on the noon buying rate of the Federal Reserve Bank of New York for the U.S. dollar on the date of grant. The actual exercise price will be the pounds sterling amount regardless of the exchange rate on the date of grant or of exercise.

(5) The exercise price was converted from GBP1.82 based on the noon buying rate of the Federal Reserve Bank of New York for the U.S. dollar on the date of grant. The actual exercise price will be the pounds sterling amount regardless of the exchange rate on the date of grant or of exercise.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure.

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