### Edgar Filing: VITAL THERAPIES INC - Form 3/A

#### VITAL THERAPIES INC

Form 3/A

August 29, 2014

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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

**OMB APPROVAL** 

**OMB** Number:

3235-0104

Expires:

response...

January 31, 2005

0.5

Estimated average burden hours per

**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

C/O VITAL THERAPIES.

INC., 15010 AVENUE OF SCIENCE, SUITE 200

Person \*

A Satter Muneer A

(Last)

(First)

(Street)

(Middle)

(Zip)

Statement

(Month/Day/Year)

04/16/2014

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

VITAL THERAPIES INC [VTL]

4. Relationship of Reporting

Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year) 04/16/2014

(Check all applicable)

\_X\_ Director \_\_X\_\_ 10% Owner

Officer Other (give title below) (specify below)

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 92128

(City) (State)

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 2. Date Exercisable and (Instr. 4)

**Expiration Date** 

(Month/Day/Year)

3. Title and Amount of Securities Underlying **Derivative Security** 

4. Conversion or Exercise Price of

5. Ownership Form of Derivative

6. Nature of Indirect Beneficial Ownership

Date Expiration

Exercisable Date Title

(Instr. 4)

Amount or Number of Derivative Security

(Instr. 5) Security: Direct (D)

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				Shares		or Indirect (I) (Instr. 5)	
Common Stock Warrant (right to buy)	02/02/2012	11/20/2016	Common Stock	4,477	\$ 147.91	I	See Footnotes (1)
Common Stock Warrant (right to buy)	02/02/2012	09/25/2019	Common Stock	122,172	\$ 92.99	I	See Footnotes (1)

### **Reporting Owners**

Reporting Owner Name / Address	Relationships				
	Director	10% Owner	Officer	Other	
Satter Muneer A					
C/O VITAL THERAPIES, INC.	â v	ÂΧ	â	â	
15010 AVENUE OF SCIENCE, SUITE 200	АЛ	АА	Α	A	
SAN DIEGO. CA 92128					

## **Signatures**

/s/ Robert M. Hayward, P.C. by Power of Attorney

08/29/2014

\*\*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).

This amendment is not being filed by the reporting person to report the acquisition or disposition of any securities, but rather to correct immaterial errors in the original Form 3 filed in April 2014. The original Form 3 included a line item for 1,153 shares of common stock subject to a warrant that actually expired prior to the date of the original Form 3. Accordingly, the corresponding line item and related

- (1) footnote in the Form 3 is hereby deleted. In addition, the line items for the other warrants in the original Form 3 should have reflected 4,477 shares of common stock instead of 4,654 shares and 122,172 shares of common stock instead of 120,841 shares. Accordingly, the line items and related footnotes for those warrants have been restated in their entirety to reflect such changes. All Form 4s filed by the reporting person after his original Form 3 were correct and are not impacted by these amendments.
- Includes (a) warrants to acquire 2,339 shares of common stock that are held by the Muneer A. Satter Revocable Trust for which the Reporting Person serves as trustee and, in such capacity, has sole voting and dispositive power over all such shares and (b) warrants to acquire 2,138 shares of common stock that are held by various trusts and other entities for which the Reporting Person serves as trustee, investment advisor or manager, and in such capacity, has the sole power to exercise such warrants and sole voting and dispositive power over all shares underlying such warrants. The Reporting Person disclaims beneficial ownership of all warrants and shares underlying such warrants included in clause (b) of this footnote 2, except to the extent of his pecuniary interest.
- Reporting Person serves as trustee and, in such capacity, has sole voting and dispositive power over all such shares and (b) warrants to acquire 61,533 shares of common stock that are held by various trusts and other entities for which the Reporting Person serves as trustee, investment advisor or manager, and in such capacity, has the sole power to exercise such warrants and sole voting and dispositive power over all shares underlying such warrants. The Reporting Person disclaims beneficial ownership of all warrants and shares underlying such warrants included in clause (b) of this footnote 3, except to the extent of his pecuniary interest.

Includes (a) warrants to acquire 60,639 shares of common stock that are held by the Muneer A. Satter Revocable Trust for which the

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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