Ultragenyx Pharmaceutical Inc.

Form 4

August 21, 2015

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

2. Issuer Name and Ticker or Trading

Ultragenyx Pharmaceutical Inc.

Symbol

[RARE]

**OMB** Number:

3235-0287

Expires:

5. Relationship of Reporting Person(s) to

(Check all applicable)

Issuer

January 31, 2005

0.5

Estimated average burden hours per

**OMB APPROVAL** 

response...

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

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)

AGARWAL SUNIL

1. Name and Address of Reporting Person \*

| (Last)                               | (First)                                 | (Middle) 3. Date of Earliest Transaction<br>(Month/Day/Year)                           |          |                 |                          |                        | _                     | Director<br>Officer (give tit  |  | Owner (specify  |  |
|--------------------------------------|---|--|----------|-----------------|--------------------------|------------------------|-----------------------|--|--|---|--|
|                                      |   |  |          | bel hel         |                          |                        |                       | elow) below) Chief Medical Officer   |  |   |  |
|                                      | (Street)                                | 4. If Amendment, Date Original Filed(Month/Day/Year)                                   |          |                 |                          |                        | Ap                    | 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person                  |  |   |  |
| NOVATO, CA 94949                     |   |  |          | Pe              |                          |                        |                       | Form filed by More than One Reporting erson  |  |   |  |
| (City)                               | (State)                                 | (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned |          |                 |                          |                        |                       |  |  |   |  |
| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution I<br>any<br>(Month/Day   | Date, if | Code (Instr. 8) | orDisposed<br>(Instr. 3, | of (D) 4 and 5  (A) or | 5)                    | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |
| Common<br>Stock                      | 08/19/2015                              |  |          | Code V<br>F     | Amount 5,480 (1)         | (D)                    | Price \$ 116.99       | 23,920 (2)   | D  |   |  |
| Common<br>Stock                      | 08/20/2015                              |  |          | S(3)            | 3,370                    | D                      | \$<br>112.1892<br>(4) | 20,550 (2)   | D  |   |  |
| Common<br>Stock                      | 08/20/2015                              |  |          | S(3)            | 3,650                    | D                      | \$<br>112.7284<br>(5) | 16,900 <u>(2)</u>  | D  |   |  |
| Common                               | 08/20/2015                              |  |          | M               | 10,000                   | A                      | \$ 55.88              | 26,900 (2)   | D  |   |  |

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| Common<br>Stock | 08/20/2015 | S(3) | 724   | D | \$ 107.302<br>(6)      | 26,176 <u>(2)</u> | D |
|-----------------|------------|------|-------|---|------------------------|-------------------|---|
| Common<br>Stock | 08/20/2015 | S(3) | 1,471 | D | \$<br>108.9801<br>(7)  | 24,705 (2)        | D |
| Common<br>Stock | 08/20/2015 | S(3) | 4,875 | D | \$<br>110.3961<br>(8)  | 19,830 (2)        | D |
| Common<br>Stock | 08/20/2015 | S(3) | 2,000 | D | \$ 111.214<br>(9)      | 17,830 (2)        | D |
| Common<br>Stock | 08/20/2015 | S(3) | 930   | D | \$<br>111.9035<br>(10) | 16,900 (2)        | D |

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

SEC 1474

(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 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) |  |        | ransactionDerivative 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<br>Exercisable | Expiration<br>Date                                       | Title           | Amount<br>or<br>Number<br>of Shares                           |  |
| Stock<br>Option<br>(Right to<br>Buy)                | \$ 55.88  | 08/20/2015                              |  | M      | 10,000                              | (11)                | 08/18/2024   | Common<br>Stock | 10,000  |  |

(e.g., puts, calls, warrants, options, convertible securities)

# **Reporting Owners**

| Reporting Owner Name / Address     | Relationships |           |         |       |  |  |  |  |
|------------------------------------|---------------|-----------|---------|-------|--|--|--|--|
| • 0                                | Director      | 10% Owner | Officer | Other |  |  |  |  |
| AGARWAL SUNIL                      |               |           | Chief   |       |  |  |  |  |
| C/O ULTRAGENYX PHARMACEUTICAL INC. |               |           | Medical |       |  |  |  |  |

Reporting Owners 2

60 LEVERONI COURT NOVATO, CA 94949 Officer

#### **Signatures**

/s/ Sunil Agarwal

08/21/2015

\*\*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).
- Represents shares surrendered to the Issuer by the Reporting Person to pay required tax withholdings due upon vesting of Restricted

  (1) Stock Units granted to the Reporting Person under the Issuers 2014 Incentive Plan. The shares surrendered were valued based on the closing price of the Issuers common stock on the vesting date.
- (2) Includes previously reported shares of common stock underlying Restricted Stock Units granted to the Reporting Person, which are subject to certain vesting conditions.
- (3) The sales reported on this Form 4 were effected pursuant to a trading plan adopted pursuant to Rule 10b5-1 under the Securities Exchange Act of 1934, as amended.
- The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$111.9100 to \$112.4500 inclusive. The Reporting Person undertakes to provide to the Issuer, any security holder of the Issuer, 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 range.
- The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$112.4600 to \$113.3800 inclusive. The Reporting Person undertakes to provide to the Issuer, any security holder of the Issuer, 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 range.
- The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$107.1103 to \$107.5100 inclusive. The Reporting Person undertakes to provide to the Issuer, any security holder of the Issuer, 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 range.
- The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$108.6900 to \$109.6700 inclusive. The Reporting Person undertakes to provide to the Issuer, any security holder of the Issuer, 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 range.
- (8) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$109.7367 to \$110.6900 inclusive. The Reporting Person undertakes to provide to the Issuer, any security holder of the Issuer, 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 range.
- The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$110.7600 to \$111.7000 inclusive. The Reporting Person undertakes to provide to the Issuer, any security holder of the Issuer, 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 range.
- (10) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$111.8800 to \$111.9100 inclusive. The Reporting Person undertakes to provide to the Issuer, any security holder of the Issuer, 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 range.
- (11) 1/4th of the shares underlying the option vested on August 19, 2015, and then 1/48th of the underlying shares will vest monthly thereafter, provided the Reporting Person has not terminated services with the Issuer.

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.

Signatures 3