**CRISPR** Therapeutics AG

Form 3

October 18, 2016

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

**OMB APPROVAL** 

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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 \*

À CELGENE CORP/DE/

(Last)

(First)

(Middle)

Statement

(Month/Day/Year)

10/18/2016

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

CRISPR Therapeutics AG [CRSP]

4. Relationship of Reporting Person(s) to Issuer

Director

Officer

5. If Amendment, Date Original

Filed(Month/Day/Year)

**86 MORRIS AVENUE** 

(Street)

(State)

(Check all applicable)

(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

SUMMIT, Â NJÂ 07901

1. Title of Security (Instr. 4)

(City)

(Zip)

2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership

\_X\_\_ 10% Owner

Other

4. Nature of Indirect Beneficial

Ownership (Instr. 5)

Form: Direct (D) or Indirect (I)

Table I - Non-Derivative Securities Beneficially Owned

(Instr. 5)

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 1473 (7-02)

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

(Instr. 4)

4. Conversion or Exercise Price of

5. Ownership Form of Derivative Security:

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

Expiration Exercisable Date

Title

Amount or Number of Shares

Derivative Security Direct (D) or Indirect (I)

(Instr. 5)

1

### Edgar Filing: CRISPR Therapeutics AG - Form 3

Series B Preferred Shares  $\hat{A}$   $\underline{(1)}$   $\hat{A}$   $\underline{(1)}$  Common Shares  $\hat{A}$   $\underline{(1)}$  D  $\underline{(2)}$   $\underline{(3)}$   $\hat{A}$ 

## **Reporting Owners**

Reporting Owner Name / Address

Director 10% Owner Officer Other

CELGENE CORP / DE /
86 MORRIS AVENUE Â Â X Â X

SUMMIT, NJÂ 07901

# **Signatures**

/s/ Peter N. Kellogg \_\_\_\_\_ Peter N.
Kellogg, Executive Vice President and Chief Financial Officer

\*\*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).
- These securities are convertible at any time on a one-for-one basis into shares of the Issuer's Common Shares at the holder's election and automatically upon the closing of the Issuer's initial public offering into the number of shares of Common Shares shown in column 3 above. These securities do not have an expiration date.
- These securities are held of record by Celgene Alpine Investment Co. III, LLC, an indirectly wholly-owned subsidiary of Celgene

  (2) Corporation ("Celgene"). Celgene may be deemed to have voting and investment power over these securities and as a result may be deemed to have beneficial ownership over such securities.
- Celgene disclaims beneficial ownership of the securities reported herein for purposes of Rule 16a-1(a) under the Securities Exchange Act of 1934, as amended (the "Exchange Act"), except to the extent of its pecuniary interest therein, if any. This report shall not be deemed an admission that Celgene is a beneficial owner of such securities for the purpose of Section 16 of the Exchange Act, or for any other purpose.

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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