Zeneca, Inc. Form 3

October 17, 2018 UNITED STATES SECURITIES AND EXCHANGE COMMISSION **OMB APPROVAL** FORM 3 Washington, D.C. 20549 OMB 3235-0104 Number: January 31, **INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF** Expires: 2005 **SECURITIES** Estimated average burden hours per Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, response... 0.5 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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person * Statement PhaseBio Pharmaceuticals Inc [PHAS] ASTRAZENECA PLC (Month/Day/Year) 10/17/2018 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) **1 FRANCIS CRICK** (Check all applicable) AVENUE,Â (Street) 6. Individual or Joint/Group _X__ 10% Owner Director Officer _ Other Filing(Check Applicable Line) (give title below) (specify below) Form filed by One Reporting Person CAMBRIDGE, X0Â CB2 0AA _X_ Form filed by More than One Reporting Person (City) (State) (Zip) **Table I - Non-Derivative Securities Beneficially Owned** 1. Title of Security 2. Amount of Securities 4. Nature of Indirect Beneficial 3. Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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. Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 1. Title of Derivative Security 2. Date Exercisable and 3. Title and Amount of 4. 5. 6. Nature of Indirect (Instr. 4) **Expiration Date** Securities Underlying Conversion Ownership **Beneficial Ownership** (Month/Day/Year) or Exercise Derivative Security Form of (Instr. 5) Price of Derivative (Instr. 4) Security: Derivative Date Expiration Title Amount or Security Direct (D)

Number of

Shares

or Indirect

(I)

Exercisable Date

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(Instr. 5)

Series C-1 Preferred Stock	(1)	(1)	Common Stock	1,553,060	\$ <u>(1)</u>	Ι	By Zeneca, Inc. (2)
Series D Preferred Stock	(1)	(1)	Common Stock	740,337	\$ <u>(1)</u>	Ι	By Zeneca, Inc. (2)
Warrants to Purchase Series C-1 Preferred Stock	(<u>3)</u>	(<u>3)</u>	Series C-1 Preferred Stock (1)	113,891	\$ 0.12	Ι	By Zeneca, Inc. (2)

Reporting Owners

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
ASTRAZENECA PLC 1 FRANCIS CRICK AVENUE CAMBRIDGE, X0 CB2 0AA	Â	X	Â	Â		
Zeneca, Inc. C/O ASTRAZENECA PLC 1 FRANCIS CRICK AVENUE CAMBRIDGE, X0 CB2 0AA	Â	ÂX	Â	Â		
Signatures						
/s/ Marc Dunoyer, on behalf of AstraZeneca PLC			10/17/2018			
<u>**</u> Signature of Reporting Person			Date			
/s/ David E. White, on behalf of Ze Inc.	eneca,	10/17/2018				
**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).
- (1) Each share of Preferred Stock is convertible at any time at the option of the holder into Common Stock on a one-for-one basis, has no expiration date and will convert into shares of Common Stock upon the closing of the Issuer's initial public offering.
- (2) Zeneca, Inc. is a wholly-owned subsidiary of AstraZeneca PLC. AstraZeneca PLC may be deemed to beneficially own the securities held by Zeneca, Inc., but disclaims beneficial ownership over such securities except to the extent of its pecuniary interest therein, if any.
- (3) The warrants are immediately exercisable and terminate upon the closing of the Issuer's initial public offering.

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.