

DILLY STEPHEN GEORGE  
Form 4  
June 08, 2018

**FORM 4**

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

OMB APPROVAL

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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**STATEMENT OF CHANGES IN 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 \*  
DILLY STEPHEN GEORGE

(Last) (First) (Middle)

AIMMUNE THERAPEUTICS, INC., 8000 MARINA BOULEVARD, SUITE 300

(Street)

BRISBANE, CA 94005-1884

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol

Aimmune Therapeutics, Inc. [AIMT]

3. Date of Earliest Transaction (Month/Day/Year)

06/06/2018

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
President and CEO

6. Individual or Joint/Group Filing(Check Applicable Line)

Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired or Disposed of (A) or (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock, \$0.0001 par value	06/06/2018		M	30,465 A	\$ 3.0221 345,773	D	
Common Stock, \$0.0001 par value	06/06/2018		S <sup>(1)</sup>	30,465 D	\$ 31.1955 315,308	D	
Common Stock, \$0.0001	06/07/2018		M	32,598 A	\$ 3.0221 347,906	D	

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par value								
Common Stock, \$0.0001 par value	06/07/2018	<u>S</u> <sup>(1)</sup>	32,098	D	\$ 30.9465 <u>(3)</u>	315,808	D	
Common Stock, \$0.0001 par value	06/07/2018	<u>S</u> <sup>(1)</sup>	500	D	\$ 31.58	315,308	D	
Common Stock, \$0.0001 par value	06/08/2018	M	42,106	A	\$ 3.0221	357,414	D	
Common Stock, \$0.0001 par value	06/08/2018	<u>S</u> <sup>(1)</sup>	42,106	D	\$ 30.6966 <u>(4)</u>	315,308	D	
Common Stock, \$0.0001 par value						12,009	I	By GRAT 2 <u>(5)</u>
Common Stock, \$0.0001 par value						12,009	I	By Wife's GRAT 2 <u>(6)</u>
Common Stock, \$0.0001 par value						25,532	I	By Family Trust <u>(7)</u>
Common Stock, \$0.0001 par value						41,075	I	By Child's Trust 1 <u>(8)</u>
Common Stock, \$0.0001 par value						41,075	I	By Child's Trust 2 <u>(9)</u>

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

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(9-02)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

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1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Amount or Number of Shares
Stock Option (right to buy)	\$ 3.0221	06/06/2018		M	30,465	<u>(10)</u> 05/18/2025	Common Stock	30,465
Stock Option (right to buy)	\$ 3.0221	06/07/2018		M	32,598	<u>(10)</u> 05/18/2025	Common Stock	32,598
Stock Option (right to buy)	\$ 3.0221	06/08/2018		M	42,106	<u>(10)</u> 05/18/2025	Common Stock	42,106

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
DILLY STEPHEN GEORGE AIMMUNE THERAPEUTICS, INC. 8000 MARINA BOULEVARD, SUITE 300 BRISBANE, CA 94005-1884	X		President and CEO	

## Signatures

/s/ Douglas T. Sheehy, as Attorney in Fact for Stephen G. Dilly  
 \*\*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).
- (1) This sale reported in the Form 4 was effected pursuant to a Rule 10b5-1 trading plan adopted by Reporting Person.
- (2) The transaction was executed in multiple trades in prices ranging from \$30.68 to \$31.55, inclusive. The price reported in Column 4 above reflects the weighted average sale price. The Reporting Person hereby undertakes to provide upon request to the SEC staff, the Issuer, or a stockholder of the Issuer, information regarding the number of shares and prices at which the transaction was effected.
- (3) The transaction was executed in multiple trades in prices ranging from \$30.45 to \$31.43, inclusive. The price reported in Column 4 above reflects the weighted average sale price. The Reporting Person hereby undertakes to provide upon request to the SEC staff, the

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Issuer, or a stockholder of the Issuer, information regarding the number of shares and prices at which the transaction was effected.

- (4) The transaction was executed in multiple trades in prices ranging from \$30.22 to \$31.03, inclusive. The price reported in Column 4 above reflects the weighted average sale price. The Reporting Person hereby undertakes to provide upon request to the SEC staff, the Issuer, or a stockholder of the Issuer, information regarding the number of shares and prices at which the transaction was effected.
- (5) These shares are held by Stephen G. Dilly, Trustee, The Stephen G. Dilly 2016 Grantor Retained Annuity Trust DTD August 12, 2016 (the "Second Dilly Trust"). Dr. Dilly has sole voting, investment and dispositive power over the shares held by the Second Dilly Trust.
- (6) These shares are held by Edwina Lynette Mullens, Trustee, The Edwina Lynette Mullens 2016 Grantor Retained Annuity Trust DTD August 12, 2016 (the "Second Mullens Trust"). Ms. Mullens has sole voting, investment and dispositive power over the shares held by the Second Mullens Trust. Dr. Dilly disclaims beneficial ownership of the shares held by the Second Mullens Trust.
- (7) These shares are held by Stephen G. Dilly and Edwina Lynette Mullens as Trustees of The Dilly Family Trust dated October 9, 2002 (the "Family Trust"). Dr. Dilly and Ms. Mullens have joint voting, investment and dispositive power over the shares held by the Family Trust.
- (8) These shares are held by Stephen G. Dilly and Edwina Lynette Mullens as Trustees of The Frederick S W Dilly 2015 Irrevocable Trust dated June 23, 2015 (the "Frederick S W Dilly Trust"). Dr. Dilly and Ms. Mullens have joint voting, investment and dispositive power over the shares held by the Frederick S W Dilly Trust.
- (9) These shares are held by Edwina Lynette Mullens and Stephen G. Dilly as Trustees of The Harriet F.L. Dilly 2015 Revocable Trust dated June 23, 2015 (the "Harriet F.L. Dilly Trust"). Dr. Dilly and Ms. Mullens have joint voting, investment and dispositive power over the shares held by the Harriet F.L. Dilly Trust.
- (10) The option is immediately exercisable in full or in part. The shares vest pursuant to the following schedule: One forty-eighth (1/48th) of the shares subject to the option vest in 48 successive, equal monthly installments measured from May 13, 2015, subject to Reporting Person's continued service relationship with the Issuer on each such vesting date.

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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