Dicerna Pharmaceuticals Inc Form 4

February 04, 2014

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB

**OMB APPROVAL** 

Number:

3235-0287

Expires:

January 31, 2005

0.5

Estimated average burden hours per

response...

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

Check this box

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)

1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading VITULLO NICOLE Issuer Symbol Dicerna Pharmaceuticals Inc (Check all applicable) [DRNA] (Last) (First) (Middle) 3. Date of Earliest Transaction Director X 10% Owner \_ Other (specify Officer (give title (Month/Day/Year) below) C/O DOMAIN ASSOCIATES. 02/04/2014 LLC, ONE PALMER SQUARE (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting PRINCETON, NJ 08542 (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

		Table 1 - Non-Delivative Securities Acquired, Disposed 61, 61 Beneficiary Owned						
		3.			red (A)		6.	7. Nature of
(Month/Day/Year)	<i>'</i>	*					Indirect Beneficial	
	(Month/Day/Year)	(Instr. 8)	(,	,		Owned	Direct (D)	Ownership
						U		(Instr. 4)
				(A)		Transaction(s)	(Instr. 4)	
		Code V	Amount		Price	(Instr. 3 and 4)		
				,				By Domain
02/04/2014		C	1,752,707	A	<u>(1)</u>	1,752,707	I	Partners
								VIII, L.P. (2)
02/04/2014		C	13,004	A	(1)	13,004	I	By DP VIII Associates, L.P. (2)
	(Month/Day/Year) 02/04/2014	2. Transaction Date (Month/Day/Year) 2A. Deemed Execution Date, if any (Month/Day/Year)  02/04/2014	2. Transaction Date (Month/Day/Year) Execution Date, if any (Month/Day/Year) (Month/Day/Year) Code (Instr. 8)  Code V  02/04/2014 C	2. Transaction Date (Month/Day/Year) Execution Date, if any (Month/Day/Year) (Month/Day/Year) Code (Instr. 3, 4 and (Instr. 8) Code V Amount C 1,752,707	2. Transaction Date (Month/Day/Year) Execution Date, if any (Month/Day/Year) (Month/Day/Year) (Instr. 8) (A) or Code V Amount (D) (Code V 1,752,707 A	2. Transaction Date (Month/Day/Year) Execution Date, if any (Month/Day/Year) (Month/Day/Year) (Code V Amount (D) Price (Code V 1,752,707 A (1))	2. Transaction Date (Month/Day/Year)  2. Transaction Date (Month/Day/Year)  Execution Date, if any (Month/Day/Year)  (Month/Day/Year)  (Month/Day/Year)  Execution Date, if any (Month/Day/Year)  (Month/Day/Year)  (Instr. 8)  Code (Instr. 3, 4 and 5)  (Instr. 8)  (A) Or (Code V Amount (D) Price)  (Instr. 3 and 4)  Code V 1,752,707 A (L) 1,752,707	2. Transaction Date (Month/Day/Year)  2. Transaction Date (Month/Day/Year)  2. Transaction Date (Month/Day/Year)  2. Transaction Date (Month/Day/Year)  2. Transaction Date (Instr. 3, 4 and 5)  3.

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control

# Edgar Filing: Dicerna Pharmaceuticals Inc - Form 4

### number.

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

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)	Code	Acquire Dispose	ve Securities d (A) or	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Ar Underlying Se (Instr. 3 and 4)
	·			Code V	7 (A)	(D)	Date Exercisable	Expiration Date	Title !
Series B Preferred Stock	<u>(1)</u>	02/04/2014		С		476,464	<u>(1)</u>	<u>(1)</u>	Common Stock
Series C Preferred Stock	(1)	02/04/2014		C		1,276,243	<u>(1)</u>	<u>(1)</u>	Common Stock
Warrant	\$ 7 <u>(1)</u>	02/04/2014		С		21,041	01/29/2014	06/26/2018	Series C Preferred Stock
Warrant	\$ 7 <u>(1)</u>	02/04/2014		С	21,041	l	01/29/2014	06/26/2018	Common Stock
Series B Preferred Stock	(1)	02/04/2014		С		3,535	<u>(1)</u>	<u>(1)</u>	Common Stock
Series C Preferred Stock	(1)	02/04/2014		C		9,469	<u>(1)</u>	<u>(1)</u>	Common Stock
Warrant	\$ 7 <u>(1)</u>	02/04/2014		C		156	01/29/2014	06/26/2018	Series C Preferred Stock
Warrant	\$ 7 <u>(1)</u>	02/04/2014		C	156		01/29/2014	06/26/2018	Common Stock

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		

Reporting Owners 2

VITULLO NICOLE C/O DOMAIN ASSOCIATES, LLC ONE PALMER SQUARE PRINCETON, NJ 08542

X

# **Signatures**

/s/Kathleen K. Schoemaker, Attorney-in-Fact

02/04/2014

\*\*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) All outstanding shares of preferred stock were automatically converted into Common Stock upon the closing of the Issuer's initial public offering, for no additional consideration. The preferred stock had no expiration date.
  - The Reporting Person is a Managing Member of One Palmer Square Associates VIII, LLC, which is the sole general partner of Domain Partners VIII, L.P. and DP VIII Associates, L.P. Pursuant to Instruction (4)(b)(iv) of Form 4, the Reporting Person has elected to report as
- (2) indirectly beneficially owned the entire number of securities beneficially owned by each such entity. The Reporting Person disclaims beneficial ownership of any securities, and any proceeds thereof, that exceed his or her pecuniary interest therein and/or that are not actually distributed to him or her.

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