

GUTHART LEO
Form 4/A
October 31, 2017

FORM 4

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

OMB APPROVAL

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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 *
GUTHART LEO

(Last) (First) (Middle)

C/O TOPSPIN FUND L.P., THREE EXPRESSWAY PLAZA

(Street)

ROSLYN HEIGHTS, NY 11577

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
Immune Design Corp. [IMDZ]

3. Date of Earliest Transaction
(Month/Day/Year)
10/27/2017

4. If Amendment, Date Original Filed(Month/Day/Year)
05/22/2017

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

___ Director ___X___ 10% Owner
___ Officer (give title below) ___ Other (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

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 (A) or Disposed of (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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| Common Stock | 10/27/2017 | | P | V Amount \$ 4.1 | 5,647,239 | I | See Note (1) (3) (4) (5) |
| Common Stock | 10/31/2017 | | G | V Amount \$ 0 | 5,644,739 | I | See Note (2) (3) (4) (5) |

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

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SEC 1474 (9-02)

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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) | 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. Price of Derivative Security (Instr. 5) | 9. Number of Derivative Securities Owned Following Reporting Transaction (Instr. 6) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| GUTHART LEO C/O TOPSPIN FUND L.P. THREE EXPRESSWAY PLAZA ROSLYN HEIGHTS, NY 11577 | | X | | |

Signatures

/s/ Leo A. Guthart
10/31/2017

**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) The transaction reported herein with a transaction date of October 27, 2017 was a purchase made by Topspin Fund L.P. That purchase was made in connection with the Issuer's issuance and sale of 19,500,000 shares of the Issuer's Common Stock as disclosed in the Issuer's Form 8-K filed with the Commission on October 25, 2017.
- (2) The transaction reported herein with a transaction date of October 31, 2017 was a bona fide gift made from an Individual Retirement Account in the name of Leo A. Guthart.
- (3) Leo A. Guthart is the managing member of LG Management, LLC, which is the general partner of Topspin Fund L.P., which, taking into account the transaction reported herein with a transaction date of October 27, 2017, is the direct beneficial owner of 5,526,514 shares of the Issuer's Common Stock. As a result, Leo A. Guthart may be deemed an indirect beneficial owner of the 5,526,514 shares of the Issuer's Common Stock directly beneficially owned by Topspin Fund L.P. However, Leo A. Guthart and LG Management, LLC disclaim beneficial ownership of the 5,526,514 shares of the Issuer's Common Stock directly beneficially owned by Topspin Fund L.P., except to the extent of their respective indirect pecuniary interests in such shares.
- (4) Taking into account the transaction reported herein with a transaction date of October 31, 2017, Individual Retirement Accounts in the name of Leo A. Guthart are the direct beneficial owners of a total of 118,225 shares of the Issuer's Common Stock and, as a result, Leo A. Guthart may be deemed an indirect beneficial owner of such shares. However, Leo A. Guthart disclaims beneficial ownership of such

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shares, except to the extent of his indirect pecuniary interest in such shares.

- (5) Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned is intentionally omitted because there are no reportable transactions involving derivative securities.

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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