

Chapman Marcus
Form 3
April 24, 2019

FORM 3

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 *

Chapman Marcus

(Last) (First) (Middle)

C/O SERES THERAPEUTICS,
INC., 200 SIDNEY STREET

(Street)

CAMBRIDGE, MA 02139

(City) (State) (Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

04/18/2019

3. Issuer Name and Ticker or Trading Symbol
Seres Therapeutics, Inc. [MCRB]

4. Relationship of Reporting
Person(s) to Issuer

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

(Check all applicable)

____ Director ____ 10% Owner
X Officer ____ Other
(give title below) (specify below)
See Remarks

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 Beneficially Owned

1. Title of Security
(Instr. 4)

2. Amount of Securities
Beneficially Owned
(Instr. 4)

3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)

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

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

SEC 1473 (7-02)

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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
(Instr. 4)

2. Date Exercisable and
Expiration Date
(Month/Day/Year)

Date Expiration
Exercisable Date

3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)

Title Amount or
Number of
Shares

4. Conversion
or Exercise
Price of
Derivative
Security

5. Ownership
Form of
Derivative
Security:
Direct (D)
or Indirect
(I)

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

(Instr. 5)

Stock Option (Right to Buy)	Â <u>(1)</u>	03/24/2025	Common Stock	25,000	\$ 15.77	D	Â
Stock Option (Right to Buy)	Â <u>(2)</u>	01/31/2026	Common Stock	12,500	\$ 26.2	D	Â
Stock Option (Right to Buy)	Â <u>(3)</u>	01/25/2027	Common Stock	10,000	\$ 9.89	D	Â
Stock Option (Right to Buy)	Â <u>(4)</u>	01/29/2028	Common Stock	18,000	\$ 10.42	D	Â
Restricted Stock Units	Â <u>(5)</u>	Â <u>(6)</u>	Common Stock	12,000	\$ <u>(7)</u>	D	Â
Stock Option (Right to Buy)	Â <u>(8)</u>	01/31/2029	Common Stock	23,000	\$ 6.38	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Chapman Marcus C/O SERES THERAPEUTICS, INC. 200 SIDNEY STREET CAMBRIDGE, MA 02139	Â	Â	Â See Remarks	Â

Signatures

/s/ Thomas J. DesRosier, Attorney-in-fact for Marcus
Chapman

04/24/2019

**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) The option is fully vested and exercisable.
- (2) The option has vested as to 25% of the shares on February 1, 2017. The remainder of the shares will vest or have vested in 12 equal quarterly installments thereafter.
- (3) The option has vested as to 25% of the shares on January 26, 2018. The remainder of the shares will vest or have vested in 12 equal quarterly installments thereafter.
- (4) The option has vested as to 25% of the shares on January 30, 2019. The remainder of the shares will vest or have vested in 12 equal quarterly installments thereafter.
- (5) These restricted stock units will vest in full on November 1, 2019.
- (6) Not applicable.
- (7) Each restricted stock unit represents a contingent right to receive one share of Issuer common stock.
- (8) This option will vest as to 25% of the shares on February 1, 2020. The remainder of the shares will vest in 12 equal quarterly installments thereafter.

^

Remarks:

Exhibit^ List:^ Exhibit^ 24^ -^ Power^ of^ Attorney

Principal^ Financial^ and^ Accounting^ Officer

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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