SEC Form 4

Π

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

OMB APPROVAL OMB Number: 3235-0287

Estimated average burden hours per response: 0.5

1. Name and Addre	1 0	erson [*]	2. Issuer Name and Ticker or Trading Symbol Xencor Inc [XNCR]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
Foster Paul A	7			1	Director	10% Owner			
P				X	Officer (give title below)	Other (specify below)			
(Last) C/O XENCOR,	(First) INC.	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 09/17/2018		Chief Medica	,			
111 WEST LEMON AVENUE									
,			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicab Line)					
(Street)				X	Form filed by One Re	norting Person			
MONROVIA	CA	91016			Form filed by More the				
				1	Person	an One Reporting			
(City)	(State)	(Zip)							

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. Transa Code (8)				. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	v	Amount	(A) or Brice Transaction		Transaction(s) (Instr. 3 and 4)		
Common Stock	09/17/2018		M ⁽¹⁾		40,000	A	\$11.05	44,952	D	
Common Stock	09/17/2018		S ⁽¹⁾		40,000	D	\$46.0302 ⁽²⁾	4,952	D	

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. Transa Code (8)		of		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Stock Option (right to buy)	\$11.05	09/17/2018		М			40,000	(3)	02/20/2024	Common Stock	40,000	\$0.00	10,000	D	

Explanation of Responses:

1. Reported transaction occurred pursuant to a Rule 10b5-1 Plan adopted August 17, 2018.

2. The weighted average sale price for the transaction reported was \$46.0302, and the range of prices were between \$46.0121 and \$46.0782. Upon request by the SEC staff, the Issuer, or any security holder of the Issuer, full information regarding the number of shares purchased or sold at each separate price will be provided.

3. The stock option is fully vested.

Remarks:

/s/ Paul Foster

09/17/2018 ** Signature of Reporting Person Date

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

* 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.