SEC Form 4

П

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

Estimated average burden hours per response: 0.5

| 1. Name and Addre | ss of Reporting Per | son* | 2. Issuer Name and Ticker or Trading Symbol Xencor Inc [XNCR] | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | | | |
|--------------------|---------------------|----------|--|--|---|--------------------------------------|--|--|--|
| <u>Kuch John J</u> | | | | | Director | 10% Owner | | | |
| C/O XENCOR, INC. | | (Middle) | 3. Date of Earliest Transaction (Month/Day/Year) 06/13/2018 | X | Officer (give title below) Sr. Vice Preside | Other (specify below) nt & CFO | | | |
| 111 WEST LEN | ION AVENUE | | 4. If Amendment, Date of Original Filed (Month/Day/Year) | 6. Individual or Joint/Group Filing (Check Applic | | | | | |
| (Ctreat) | | | | Line) | | | | | |
| (Street) | CA | 91016 | | X | Form filed by One Re | porting Person | | | |
| | | 91010 | | | Form filed by More that 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) | Transaction Code (Instr. | | 4. Securities Disposed Of | | | 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) |
|---------------------------------|--|---|-----------------------------|---|------------------------------|---------------|--------------|---|---|---|
| | | | | v | Amount | (A) or (D) | Price | Transaction(s) (Instr. 3 and 4) | | |
| Common Stock | 06/13/2018 | | S | | 25,000 | D | \$41.6378(1) | 56,629 ⁽²⁾ | D | |
| Common Stock | 06/13/2018 | | М | | 35,853 | Α | \$4.25 | 92,482 | 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) | \$4.25 | 06/13/2018 | | М | | | 35,853 | (3) | 09/03/2023 | Common Stock | 35,853 | \$0.00 | 0 | D | |

Explanation of Responses:

1. The weighted average sale price for the transaction reported was \$41.6378, and the range of prices were between \$41.50 and \$41.965. Upon request by the SEC staff, the Issuer, or any security holder of the Issuer, full information regarding the number of shares sold at each separate price will be provided.

2. Includes 2,084 shares of Common Stock that were acquired by the Reporting Person on June 9, 2017, 1,800 shares of Common Stock that were acquired by the Reporting Person on June 8, 2018 pursuant to the Issuer's Employee Stock Purchase Plan.

3. The stock option is fully vested and exercisable.

Remarks:

<u>/s/ John J. Kuch</u>

** Signature of Reporting Person

06/15/2018

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.