

ALDER BIOPHARMACEUTICALS INC

Form 3

May 07, 2014

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 *

A Smith Jeffrey T L

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

05/07/2014

3. Issuer Name and Ticker or Trading Symbol

ALDER BIOPHARMACEUTICALS INC [ALDR]

4. Relationship of Reporting Person(s) to Issuer

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

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

Sr. VP Translational Medicine

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting

Person

☐ Form filed by More than One Reporting Person11804 NORTH CREEK
PARKWAY SOUTH

(Street)

BOTHELL, WA 98011

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. 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)

Common Stock

29,090

D

A

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

Title

4. Conversion
or Exercise
Price of
Derivative
Security5. Ownership
Form of
Derivative
Security:
Direct (D)6. Nature of Indirect
Beneficial Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Stock Option (Right to Buy)	Â (1)	07/18/2015	Common Stock	61,818	\$ 0.055	D	Â
Stock Option (Right to Buy)	Â (1)	09/14/2016	Common Stock	43,272	\$ 0.385	D	Â
Stock Option (Right to Buy)	Â (1)	11/13/2017	Common Stock	16,090	\$ 1.265	D	Â
Stock Option (Right to Buy)	Â (1)	07/22/2018	Common Stock	36,363	\$ 1.65	D	Â
Stock Option (Right to Buy)	Â (1)	04/20/2019	Common Stock	40,909	\$ 0.99	D	Â
Stock Option (Right to Buy)	Â (1)	02/25/2020	Common Stock	22,727	\$ 4.455	D	Â
Stock Option (Right to Buy)	Â (1)	06/12/2022	Common Stock	27,272	\$ 3.465	D	Â
Stock Option (Right to Buy)	Â (1)	12/11/2022	Common Stock	31,818	\$ 3.465	D	Â
Stock Option (Right to Buy)	Â (1)	02/10/2024	Common Stock	13,636	\$ 6.765	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Smith Jeffrey T L 11804 NORTH CREEK PARKWAY SOUTH BOTHELL,Â WAÂ 98011	Â	Â	Â Sr. VP Translational Medicine	Â

Signatures

/s/ Jeffrey T. L.
Smith 05/07/2014

__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 shares subject to this option shall vest and become exercisable at a rate of 25% of the total number of shares on the one-year anniversary of the vesting commencement date and 1/48th of the total number of shares each monthly anniversary of the vesting commencement date thereafter, for so long as the recipient of the option provides continuous service to the issuer, such that the total number of shares shall be fully vested on the four-year anniversary of the vesting commencement date.

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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