

Cortis Christian  
Form 3  
June 22, 2018

# 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 * | 2. Date of Event Requiring Statement | 3. Issuer Name and Ticker or Trading Symbol                                                                                                                                                                        |
| Â Cortis Christian                        | (Month/Day/Year)                     | AGENUS INC [AGEN]                                                                                                                                                                                                  |
| (Last) (First) (Middle)                   | 06/21/2018                           |                                                                                                                                                                                                                    |
| 3 FORBES ROAD                             |                                      | 4. Relationship of Reporting Person(s) to Issuer                                                                                                                                                                   |
| (Street)                                  |                                      | (Check all applicable)                                                                                                                                                                                             |
|                                           |                                      | <input type="checkbox"/> Director <input type="checkbox"/> 10% Owner<br><input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other<br>(give title below) (specify below)<br>Chief Strategy Officer |
| LEXINGTON,Â MAÂ 02421                     |                                      | 5. If Amendment, Date Original Filed(Month/Day/Year)                                                                                                                                                               |
| (City) (State) (Zip)                      |                                      |                                                                                                                                                                                                                    |
|                                           |                                      | 6. Individual or Joint/Group Filing(Check Applicable Line)                                                                                                                                                         |
|                                           |                                      | <input checked="" type="checkbox"/> Form filed by One Reporting Person                                                                                                                                             |
|                                           |                                      | <input type="checkbox"/> Form filed by More than One Reporting Person                                                                                                                                              |

### Table I - Non-Derivative Securities Beneficially Owned

| 1. Title of Security<br>(Instr. 4) | 2. Amount of Securities Beneficially Owned<br>(Instr. 4) | 3. Ownership Form:<br>Direct (D)<br>or Indirect (I)<br>(Instr. 5) | 4. Nature of Indirect Beneficial Ownership<br>(Instr. 5) |
|------------------------------------|----------------------------------------------------------|-------------------------------------------------------------------|----------------------------------------------------------|
| Common Stock                       | 19,849                                                   | D                                                                 | Â                                                        |

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

SEC 1473 (7-02)

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### Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of Derivative Security<br>(Instr. 4) | 2. Date Exercisable and Expiration Date<br>(Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security<br>(Instr. 4) | 4. Conversion or Exercise Price of Derivative Security | 5. Ownership Form of Derivative Security:<br>Direct (D)<br>or Indirect | 6. Nature of Indirect Beneficial Ownership<br>(Instr. 5) |
|-----------------------------------------------|-------------------------------------------------------------|--------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------|----------------------------------------------------------|
|                                               | Date Exercisable Expiration Date                            | Title Amount or Number of                                                      |                                                        |                                                                        |                                                          |

## Edgar Filing: Cortis Christian - Form 3

|                            |                           |            |              | Shares  |         | (I)<br>(Instr. 5) |   |
|----------------------------|---------------------------|------------|--------------|---------|---------|-------------------|---|
| Stock Option, right to buy | 04/13/2016 <sup>(1)</sup> | 05/01/2025 | Common Stock | 85,000  | \$ 6.85 | D                 | Â |
| Stock Option, right to buy | 03/31/2017 <sup>(2)</sup> | 03/31/2026 | Common Stock | 50,000  | \$ 4.16 | D                 | Â |
| Stock Option, right to buy | 03/31/2018 <sup>(3)</sup> | 03/31/2027 | Common Stock | 60,000  | \$ 3.77 | D                 | Â |
| Stock Option, right to buy | 03/02/2019 <sup>(4)</sup> | 03/02/2028 | Common Stock | 100,000 | \$ 5.65 | D                 | Â |

## Reporting Owners

| Reporting Owner Name / Address                           | Relationships |           |                          |       |
|----------------------------------------------------------|---------------|-----------|--------------------------|-------|
|                                                          | Director      | 10% Owner | Officer                  | Other |
| Cortis Christian<br>3 FORBES ROAD<br>LEXINGTON, MA 02421 | Â             | Â         | Â Chief Strategy Officer | Â     |

## Signatures

Christine M. Klaskin, by Power of Attorney

06/22/2018

\_\_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) Options awarded in accordance with the Agenesis Inc. Amended and Restated 2009 Equity Incentive Plan and vests in four equal annual installments beginning April 13, 2016.
- (2) Options awarded in accordance with the Agenesis Inc. Amended and Restated 2009 Equity Plan and vests in three years with one-third vested on March 31, 2017 and the balance in equal quarterly installments.
- (3) Option awarded in accordance with the Agenesis Inc. Amended and Restated 2009 Equity Incentive Plan and vests on-third on the one-year anniversary of the grant date, March 31, 2017, with the balance vesting in equal quarterly installments thereafter.
- (4) Options was granted on March 2, 2018 subject to shareholder approval, which was obtained at the Company's annual shareholder meeting on June 20, 2018. Option awarded in accordance with the Agenesis Inc. Amended and Restated 2009 Equity Incentive Plan, and vests over three years with one-third of the award vesting on March 2, 2019 and the balance vesting in equal quarterly installments thereafter.

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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