

Dicerna Pharmaceuticals Inc  
Form 4  
February 04, 2014

**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 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

## OMB APPROVAL

OMB  
Number: 3235-0287  
Expires: January 31,  
2005  
Estimated average  
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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Halak Brian K

(Last) (First) (Middle)

C/O DOMAIN ASSOCIATES,  
LLC, ONE PALMER SQUARE

(Street)

PRINCETON, NJ 08542

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading  
Symbol  
Dicerna Pharmaceuticals Inc  
[DRNA]

3. Date of Earliest Transaction  
(Month/Day/Year)  
02/04/2014

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

☐ Director ☒ 10% Owner  
☐ Officer (give title below) ☐ Other (specify below)

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
☒ Form filed by One Reporting Person  
☐ Form filed by More than One Reporting  
Person

**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. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock	02/04/2014		C	1,752,707	A <u>1</u> 1,752,707	I	By Domain Partners VIII, L.P. <sup>(2)</sup>
Common Stock	02/04/2014		C	13,004	A <u>1</u> 13,004	I	By DP VIII Associates, L.P. <sup>(2)</sup>

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

**Persons who respond to the collection of  
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SEC 1474  
(9-02)

number.

**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. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Underlying Se (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title
Series B Preferred Stock	<u>(1)</u>	02/04/2014		C	476,464	<u>(1)</u>	<u>(1)</u>	Common Stock
Series C Preferred Stock	<u>(1)</u>	02/04/2014		C	1,276,243	<u>(1)</u>	<u>(1)</u>	Common Stock
Warrant	\$ 7 <u>(1)</u>	02/04/2014		C	21,041	01/29/2014	06/26/2018	Series C Preferred Stock
Warrant	\$ 7 <u>(1)</u>	02/04/2014		C	21,041	01/29/2014	06/26/2018	Common Stock
Series B Preferred Stock	<u>(1)</u>	02/04/2014		C	3,535	<u>(1)</u>	<u>(1)</u>	Common Stock
Series C Preferred Stock	<u>(1)</u>	02/04/2014		C	9,469	<u>(1)</u>	<u>(1)</u>	Common Stock
Warrant	\$ 7 <u>(1)</u>	02/04/2014		C	156	01/29/2014	06/26/2018	Series C Preferred Stock
Warrant	\$ 7 <u>(1)</u>	02/04/2014		C	156	01/29/2014	06/26/2018	Common Stock

## Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Halak Brian K  
C/O DOMAIN ASSOCIATES, LLC  
ONE PALMER SQUARE  
PRINCETON, NJ 08542

X X

## Signatures

/s/Kathleen K. Schoemaker,  
Attorney-in-Fact

02/04/2014

\_\_Signature of Reporting Person

Date

## Explanation of Responses:

- \* 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).
- (1) All outstanding shares of preferred stock were automatically converted into Common Stock upon the closing of the Issuer's initial public offering, for no additional consideration. The preferred stock had no expiration date.  
  
The Reporting Person is a Managing Member of One Palmer Square Associates VIII, LLC, which is the sole general partner of Domain Partners VIII, L.P. and DP VIII Associates, L.P. Pursuant to Instruction (4)(b)(iv) of Form 4, the Reporting Person has elected to report as
- (2) indirectly beneficially owned the entire number of securities beneficially owned by each such entity. The Reporting Person disclaims beneficial ownership of any securities, and any proceeds thereof, that exceed his or her pecuniary interest therein and/or that are not actually distributed to him or her.

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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