SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

| Check this box if no longer subject to |
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| 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

OMB APPROVAL OMB Number: 3235-0287 Estimated average burden hours per response: 0.5

| 1. Name and Address of Reporting Person* 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Seidel Ronald D. III | | | Table I - Non-D | Perivative Securities Acquired, Disposed of, or Ben | eficially | Owned | | |
|---|--------|---------|-----------------|--|-----------|--|-----------------------------|--|
| Seidel Ronald D. III Cue Biopharma, Inc. [CUE] (Check all applicable) (Last) (First) (Middle) 21 ERIE STREET 3. Date of Earliest Transaction (Month/Day/Year) Officer (give title Other (specible)) (Street) (Street) 4. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Application) (Street) X Form filed by One Reporting Person | (City) | (State) | (Zip) | | | | ian One Reporting | |
| Seidel Ronald D. III Cue Biopharma, Inc. [CUE] (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) Officer (give title below) 07/23/2018 EVP. Head of R&D | · · · | МА | 02139 | 4. If Amendment, Date of Original Filed (Month/Day/Year) | | Form filed by One Reporting Person | | |
| Seidel Ronald D. III Cue Biopharma, Inc. [CUE] (Check all applicable) Director 10% Owner X Officer (give title Other (speci | | () | (Middle) | | | , , , | | |
| | | 1 0 | Person* | Cue Biopharma, Inc. [CUE] | (Check | all applicable) Director Officer (give title | 10% Owner Other (specify | |

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| Title of Security (Instr. 3) | Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transa Code (8) | | 4. Securities Disposed Of 5) | | | 5. Amount of Securities Beneficially Owned Following Reported | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|------------------------------|--------------------------|---|------------------------------|---|------------------------------------|---------------|-------|---|---|
| | | | Code | v | Amount | (A) or (D) | Price | Transaction(s) (Instr. 3 and 4) | (1130.4) |

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 Expiration Exercisable Date | | Title | Amount or Number of Shares | | | | |
| Stock Option (right to buy) | \$11.54 | 07/23/2018 | | A | | 75,000 | | (1) | 07/23/2025 | Common Stock | 75,000 | \$0.00 | 75,000 | D | |

Explanation of Responses:

1. This stock option grant becomes exercisable in eight semi-annual installments beginning July 23, 2018.

Remarks:

/s/ Ronald D. Seidel III by

07/25/2018 Mark Busch, as attorney-in-fact

** Signature of Reporting Person Date

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

 \ast 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.