SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

## INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

Kiener Peter A		Date of Event Requiring Stater Month/Day/Yea 2/18/2017	ment		er Name <b>and</b> Ticker or Trac <u>Biopharma, Inc.</u> [(					
(Last) (First) (Middle) 675 W. KENDALL STREET		2/10/2017			ationship of Reporting Perso < all applicable) Director	on(s) to Issue 10% Owne Other (spe	er	5. If Amendment, Date of Original Filed (Month/Day/Year) 12/27/2017		
	02142 (Zip)	-			Officer (give title below)	below)	·	6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person		y One Reporting Person y More than One
Table I - Non-Derivative Securities Beneficially Owned										
1. Title of Security (Instr. 4)				2. Amount of Securities Beneficially Owned (Instr. 4)				4. Nature of Indirect Beneficial Ownership (Instr. 5)		
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 Securit Underlying Derivative Security		4. Convers or Exerc	ion ( ise I	5. Ownership Form: Direct (D)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
		Date Exercisable	Expiration Date	n Title		Amount or Number of Shares	Price of Derivativ Security	/e   0	Direct (D) or Indirect (I) (Instr. 5)	
Stock Options <sup>(1)</sup>		(2)	06/14/2024	1	Common Stock	60,000	5		D	

Explanation of Responses:

1. These Stock Options were omitted from the reporting person's original Form 3.

2. These Stock Options become exercisable in five equal annual installments beginning on January 1, 2018.

**Remarks:** 

/s/ Peter A. Kiener by Mark Busch, attorney-in-fact

<u>02/13/2018</u> Date

\*\* Signature of Reporting Person

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 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).

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.