SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL

OMB Number: 3235-0104 Estimated average burden hours per response: 0.5

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

1. Name and Address of Reporting Person [*] George Simeon	2. Date of Eve Requiring Stat (Month/Day/Ye 10/18/2016	ement	3. Issuer Name and Ticker or Trading Symbol <u>CRISPR Therapeutics AG</u> [CRSP]					
(Last) (First) (Middle) C/O S.R. ONE, LIMITED			4. Relationship of Reporting Per (Check all applicable) X Director	5. If Amendment, Date of Original Filed (Month/Day/Year)				
161 WASHINGTON ST., SUITE 500			Officer (give title below)	Other (spe below)		6. Individual or Joint/Group Filing (Check Applicable Line)		
(Street)					X	-	y One Reporting Person	
CONSHOHOCKEN PA 19428						Form filed b Reporting P	y More than One erson	
(City) (State) (Zip)								
Table I - Non-Derivative Securities Beneficially Owned								
1. Title of Security (Instr. 4)			2. Amount of Securities Beneficially Owned (Instr. 4)	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)		Nature of Indirect Beneficial Ownership str. 5)		
Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)								
1. Title of Derivative Security (Instr. 4)	2. Date Exerce Expiration D (Month/Day/	ate	3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise	5. Ownership Form: Direct (D)	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Price of Derivative Security	Direct (D) or Indirect (I) (Instr. 5)		
Series A-3 Preferred Shares	(1)	(1)	Common Shares	2,942,560	(1)	I	See explanation of responses ⁽²⁾	
Series B Preferred Shares	(1)	(1)	Common Shares	211,567	(1)	I	See explanation of responses ⁽²⁾	

Explanation of Responses:

1. The Series A-3 Preferred Shares and the Series B Preferred Shares are convertible at any time on a one-for-one basis into common shares of the Issuer ("Common Shares") at the holder's election and are convertible automatically into Common Shares upon the closing of the Issuer's initial public offering. These securities do not have an expiration date.

2. The shares reported herein are held of record by S.R. One, Limited, an indirect, wholly-owned subsidiary of GlaxoSmithKline plc. Simeon J. George (the "Reporting Person") is a Vice President at S.R. One, Limited and an employee of GlaxoSmithKline LLC, an indirect, wholly-owned subsidiary of GlaxoSmithKline plc. The Reporting Person disclaims beneficial ownership of all the shares reported herein and this report shall not be deemed an admission of beneficial ownership of such shares for the purposes of Section 16 or for any other purpose except to the extent of his pecuniary interest therein, if any.

Remarks:

<u>/s/ Simeon J. George</u>

10/18/2016

Date

** Signature of Reporting Person

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 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.