SEC Form 4

FORM 4

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UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

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Section 16. Form obligations may of Instruction 1(b).			Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934	1		Estimated av hours per res	verage burden sponse:	0
1. Name and Address of Reporting Person* CAGNONI PABLO J		erson*	or Section 30(h) of the Investment Company Act of 1940 2. Issuer Name and Ticker or Trading Symbol CRISPR Therapeutics AG [CRSP]		c all applicabl			
(Last) C/O CRISPR TH	(First) IERAPEUTIC	(Middle) S, INC.	3. Date of Earliest Transaction (Month/Day/Year) 11/19/2019		Director Officer (giv below)	/e title	10% Owner Other (specif below)	y
610 MAIN STR	МА	02139 (7ip)	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line) X	Form filed	by One Repo	(Check Applicab orting Person n One Reporting	le
(City)	(State)	(Zip)		1				

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

2. Transaction Date (Month/Day/Year)		Code (Securities Beneficially Owned Following	Form: Direct (D) or Indirect	7. Nature of Indirect Beneficial Ownership				
		Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)			
11/19/2019		М		7,500	A	\$5.59	7,500	D				
11/19/2019		S ⁽¹⁾		7,500	D	\$ <u>6</u> 2	0	D				
	2. Transaction Date (Month/Day/Year) 11/19/2019	2. Transaction Date (Month/Day/Year) 24. Deemed Execution Date, if any (Month/Day/Year) 11/19/2019	2. Transaction Date (Month/Day/Year) 11/19/2019 2A. Deemed Execution Date, if any (Month/Day/Year) 2A. Deemed Execution Date, if any (Month/Day/Year) 20 20 20 20 20 20 20 20 20 20 20 20 20	2. Transaction Date (Month/Day/Year) 2A. Deemed Execution Date, if any (Month/Day/Year) 2M 11/19/2019 2A. Deemed Execution Date, if any (Month/Day/Year) 20 20 20 20 20 20 20 20 20 20 20 20 20	2. Transaction Date (Month/Day/Year) 11/19/2019 2A. Deemed Execution Date, if any (Month/Day/Year) 2A. Deemed Execution Date, if any (Month/Day/Year) 2Code V M M 7,500	2. Transaction Date (Month/Day/Year) 2A. Deemed Execution Date, if any (Month/Day/Year) 3. Transaction Code (Instr. 8) 4. Securities Acquired Disposed Of (D) (Instr. 5) 11/19/2019 M Code V Amount (A) or (D) 11/19/2019 M 7,500 A	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) Code V Amount (A) or (D) Price 11/19/2019 M 7,500 A \$5.59	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) 11/19/2019 M M 7,500 A \$5.59 7,500	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. 4) 6. Ownership Form: Direct (D) or Indirect (D) or I			

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 Deri Sec Acq (A) o Disp of (I	oosed D) tr. 3, 4	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 Exercisable	Expiration Date	Title	Amount or Number of Shares				
Stock Option (Right to Buy)	\$5.59	11/19/2019		М			7,500	(2)	11/04/2025	Common Shares	7,500	\$0.00	63,833	D	

Explanation of Responses:

1. The sale reported in this Form 4 was effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person.

2. This option was granted on November 4, 2015 with respect to 93,833 Common Shares with 100% of the shares vesting in 48 equal monthly installments thereafter.

Remarks:

/s/ Michael Esposito, attorneyin-fact

11/21/2019

** Signature of Reporting Person Date

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 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.