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

1. Name and Address of Reporting Person* HO WILLIAM	2. Date of Event Requiring Stater (Month/Day/Yea 10/30/2019	ment 🔤	3. Issuer Name and Ticker or Trading Symbol <u>RAPT Therapeutics, Inc.</u> [RAPT]					
(Last) (First) (Middle) C/O RAPT THERAPEUTICS, INC. 561 ECCLES AVENUE (Street) SOUTH SAN FRANCISCO CA 94080	_		4. Relationship of Reporting Perso (Check all applicable) Director X Officer (give title below) Chief Medical O	10% Owne Other (spe below)	r cify 6. In Appl	5. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person		
(City) (State) (Zip)	_							
Table I - Non-Derivative Securities Beneficially Owned								
1. Title of Security (Instr. 4)			. Amount of Securities ieneficially Owned (Instr. 4)			Nature of Indirect Beneficial Ownership Istr. 5)		
Common Stock			72,223(1)	D				
Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)								
1. Title of Derivative Security (Instr. 4)	2. Date Exerc Expiration Da (Month/Day/)	ate	3. Title and Amount of Securit Underlying Derivative Security		4. Conversion or Exercise	ise Form:	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative or Indire	Direct (D) or Indirect (I) (Instr. 5)		
Stock Option (right to buy)	(2)	03/27/2028	Common Stock	10,417	6.18	D		
Stock Option (right to buy)	(3)	03/27/2029	Common Stock	16,666	6.3	D		

Explanation of Responses:

1. The number of shares of common stock reflects a 1-for-6 reverse stock split, which became effective July 19, 2019.

2. The option, originally for a total of 16,666 shares, vests in accordance with the following schedule: twenty-five percent of the shares subject to the option vests on the first anniversary of the vesting commencement date (the "VCD"), and the remainder vests in 36 equal monthly installments thereafter for the following three years. The Reporting Person exercised an aggregate of 6,249 shares underlying such option that vested from the VCD.

3. Twenty-five percent of the shares subject to the option vests on the first anniversary of the vesting commencement date, and the remainder vests in 36 equal monthly installments thereafter for the following three years.

Remarks:

<u>/s/ Karen C. Lam, attorney-in-</u> <u>fact for William Ho, M.D.,</u> <u>10/30/2019</u> <u>Ph.D.</u>

** 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 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.

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