SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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 Addre Spitznagel T	1 0	erson*		uer Name and Tick CROGENIC			(Check	tionship of Reportin all applicable) Director Officer (give title	ssuer Dwner (specify			
(Last) 9704 MEDICAI	(First) L CENTER DR	(Middle) IVE		te of Earliest Transa 5/2021	action (Month/	Day/Year)	X	below) Sr VP, BPD 8	below)		
(Street) ROCKVILLE	MD	20850	4. If A	mendment, Date of	f Original Filed	I (Month/Day/Year)	6. Indiv Line) X	idual or Joint/Group Form filed by One Form filed by Moi	e Reporting Pers	son		
(City)	(State)	(Zip)						Person	•			
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned												
1. Title of Security	(Instr. 3)		2. Transaction Date (Month/Day/Vear)	2A. Deemed Execution Date,	3. Transaction	4. Securities Acquired (A) Disposed Of (D) (Instr. 3, 4		5. Amount of Securities	6. Ownership Form: Direct	7. Nature of Indirect		

	(Month/Day/Year)	if any (Month/Day/Year)	Code (Instr.		Disposed of	(2) (Beneficially Owned Following Reported	(D) or Indirect (I) (Instr. 4)	Beneficial Ownership (Instr. 4)	
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150. 4)	
Common Stock	04/15/2021		М		5,000	A	\$7.51	5,000	D		
Common Stock	04/15/2021		S ⁽¹⁾		5,000	D	\$30.91 ⁽²⁾	0	D		

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 Expiration		6. Date Exerci Expiration Dat (Month/Day/Ye	biration Date onth/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		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				
Employee stock option (right to buy)	\$7.51	04/15/2021		М			5,000	03/18/2014 ⁽³⁾	09/17/2023	Common Stock	5,000	\$7.51	42,147	D	

Explanation of Responses:

1. The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on March 10, 2021.

2. This transaction was executed in multiple trades at prices ranging from \$30.71 to \$31.20. The reporting person undertakes to provide to MacroGenics, Inc., any security holder of MacroGenics, Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range.

3. 12.5% of the shares underlying the grant become (or became) exercisable on the date reflected and an additional 6.25% of the shares underlying the grant become (or became) exercisable on the first day of each three-month period thereafter.

Remarks:



04/19/2021

** 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.