SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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Check this box if no longer subject to Section 16. Form 4 or Form 5	STATEMENT
obligations may continue. See	
Instruction 1(b).	Filed purs

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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*			2. Issuer Name and Ticker or Trading Symbol <u>Allogene Therapeutics, Inc.</u> [ALLO]		5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
<u>Chang David D</u>				X	Director	10% Owner			
(Last) (First) (Middle) 210 EAST GRAND AVENUE			3. Date of Earliest Transaction (Month/Day/Year) 03/15/2021	- x	Officer (give title below) President an	Other (specify below) d CEO			
(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indi Line)	vidual or Joint/Group Fil	ing (Check Applicable			
FRANCISCO	CA	94080		X	Form filed by One Re	eporting Person			
,					Form filed by More th Person	an One Reporting			
(City)	(State)	(Zip)							

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

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transa Code (8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Code	v	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)			
Common Stock	03/15/2021		S ⁽¹⁾		20,513	D	\$38.5741(2)	2,204,417 ⁽³⁾	D		
Common Stock								1,201,108	I	See footnote ⁽⁴⁾	
Common Stock								650,266	I	See footnote ⁽⁵⁾	
Common Stock								650,266	I	See footnote ⁽⁶⁾	

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

	(-3),																								
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		of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4		erivative (Month/Day/Year) ccurities ; quired) or sposed (D) str. 3, 4		Expiration Date		Expiration Date		Expiration Date		ation Date Amount of		xpiration Date Annuth/Day/Year) Annth/Day/Year) Annut 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														

Explanation of Responses:

1. Represents the number of shares sold by the reporting person to cover tax withholding obligations in connection with the vesting of restricted stock units. This sale is mandated by the Issuer's election under its equity incentive plan to require the satisfaction of tax withholding obligations to be funded by a "sell to cover" transaction and does not represent a discretionary trade by the reporting person. 2. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$37.97 to \$38.90, inclusive. The reporting person undertakes to

provide to the Issuer, any security holder of the Issuer, 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 set forth above.

3. Includes 276 shares of the Issuer's common stock acquired by the reporting person on September 15, 2020 and includes 553 shares of the Issuer's common stock acquired by the reporting person on March 15, 2021 pursuant to an employee stock purchase program.

4. Securities held in the name of the Chang 2006 Family Trust.

5. Securities held in the name of the JEC 2019 Trust dated October 1, 2019.

6. Securities held in the name of the RTC 2019 Trust dated October 1, 2019.

Remarks:

/s/ Veer Bhavnagri, Attorney-03/17/2021 in-Fact

** 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.

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