SEC Form 4

FORM 4

Check this box if no longer subject

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

Person

Line)

Х

6. Individual or Joint/Group Filing (Check Applicable

Form filed by One Reporting Person

Form filed by More than One Reporting

OMB Number: 3235-0287									
Estimated average burden									
hours per response:	0.5								

Other (specify

to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).			Filed pursuant to Section 16(a) of the Securities Exchange Act (of 1934	Estimated hours per	average burden response:	
			or Section 30(h) of the Investment Company Act of 1940		<u>.</u>		
1. Name and Address of Reporting Person* SCHMIDT ERIC THOMAS		•	2. Issuer Name and Ticker or Trading Symbol Allogene Therapeutics, Inc. [ALLO]		all applicable)	,	
	<u>SCHWIDTERIC HIOWAS</u>				Director	10% Owner	
				X	Officer (give title	Other (speci	
(Last)	(Last) (First) (I	(Middle)	3. Date of Earliest Transaction (Month/Day/Year)		below)	below)	
l` í	GRAND AVENU	()	11/16/2020		Chief Financia	al Officer	

CA

(State)

94080

(Zip)

FRANCISCO (City)

SOUTH SAN

(Street)

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

4. If Amendment, Date of Original Filed (Month/Day/Year)

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	Transaction		4. Securities Disposed Of 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	11/16/2020		S ⁽¹⁾		4,634	D	\$32.6 ⁽²⁾	1,192,961	Ι	See footnote ⁽³⁾
Common Stock	11/16/2020		S ⁽¹⁾		10,366	D	\$33 ⁽⁴⁾	1,182,595	I	See footnote ⁽³⁾
Common Stock								78,916	D	

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

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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 Deriv Secu Acqu (A) o Disp of (D	Expiration Date (Month/Day/Year) urities urities or posed D) 0 tr. 3, 4		Amou Secu Unde Deriv	rlying ative rity (Instr.	8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	Form:	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. The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the trustee of the Eric Schmidt 2017 Family Irrevocable Trust in August 2020.

2. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$31.93 to \$32.92, 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. The securities are held in the name of the Eric Schmidt 2017 Family Irrevocable Trust.

4. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$32.93 to \$33.18, 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.

Remarks:

/s/ Veer Bhavnagri, Attorney-11/18/2020

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.

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.