Spark Therapeutics, Inc.

Form 3

January 29, 2015

### UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

**OMB APPROVAL** 

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES** 

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting

Person \*

A Children's Hospital of Philadelphia Foundation

(Last)

(First)

(Middle)

Statement

(Month/Day/Year) 01/29/2015

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Spark Therapeutics, Inc. [ONCE]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

3737 MARKET

STREET. SUITE 1300

(Street)

Director Officer

\_\_X\_\_ 10% Owner Other (give title below) (specify below)

6. Individual or Joint/Group Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

PHILADELPHIA. PAÂ 19104

(City) (State)

1. Title of Security (Instr. 4)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned 2. Amount of Securities

Beneficially Owned

(Instr. 4)

3. Ownership

(Check all applicable)

4. Nature of Indirect Beneficial Ownership (Instr. 5)

Form: Direct (D) or Indirect (I)

Â

Common Stock

4,943,629

(Instr. 5) D

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

SEC 1473 (7-02)

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

1. Title of Derivative Security (Instr. 4)

2. Date Exercisable and **Expiration Date** (Month/Day/Year)

3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)

4. Conversion or Exercise

5. Ownership Form of Derivative

6. Nature of Indirect Beneficial

Ownership

(Instr. 5)

Price of Derivative Security:

## Edgar Filing: Spark Therapeutics, Inc. - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Series A Preferred Stock	(1)	(1)	Common Stock	1,000,000	\$ <u>(1)</u>	D	Â
Series B Preferred Stock	(2)	(2)	Common Stock	2,795,031	\$ (2)	D	Â
Accrued Preferred Stock Dividends	(3)	(3)	Common Stock	61,552	\$ <u>(3)</u>	D	Â
Stock Option (right to buy)	(4)	08/11/2024	Common Stock	37,203	\$ 3.45	I	By Affiliate

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
coporting of the remark remarks		10% Owner	Officer	Othe		
Children's Hospital of Philadelphia Foundation 3737 MARKET STREET SUITE 1300 PHILADELPHIA, PA 19104		ÂX	Â	Â		

# **Signatures**

Steven M. Altschuler, MD, Chief Executive Officer

01/29/2015

\*\*Signature of Reporting Person

Date

# **Explanation of Responses:**

- \* 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).
- (1) The Series A Preferred Stock will automatically convert into Common Stock without payment of further consideration upon the closing of the Issuer's initial public offering and has no expiration date.
- (2) The Series B Preferred Stock will automatically convert into Common Stock without payment of further consideration upon the closing of the Issuer's initial public offering and has no expiration date.
  - The Series A Preferred Stock and Series B Preferred Stock accrue stock dividends payable in additional shares of Series A Preferred Stock or Series B Preferred Stock (respectively) at a rate of 8% per annum. Shares of Series A Preferred Stock and Series B Preferred
- (3) Stock issued as accrued stock dividends are immediately convertible into shares of Common Stock upon issuance, will be automatically converted into shares of Common Stock immediately upon the closing of the issuer's initial public offering, and have no expiration date. The aggregate amount of stock dividends that will have accrued through February 4, 2015, the expected closing date of the initial public offering, is 61,552 shares of Common Stock.
- This option was granted on August 11, 2014 to Steven M. Altschuler, MD, the Chief Executive Officer of the Reporting Person and the Chairman of the Board of Directors of the Issuer. The option vests over four years, with 25% of the shares underlying the option vesting on May 24, 2015, and the remainder vesting quarterly thereafter. Dr. Altschuler holds this option for the benefit of the Reporting Person.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.

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