# SEC Form 4

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# FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934

#### OMB APPROVAL OMB Number: 3235-0287 Estimated average burden

|                     |                    |                     | or Section 30(h) of the Investment Company Act of 1940                       |                   |   |                       |
|---------------------|--------------------|---------------------|--|-------------------|---|-----------------------|
| 1                   | dress of Reporting | Person <sup>*</sup> | 2. Issuer Name <b>and</b> Ticker or Trading Symbol<br>Arsanis, Inc. [ ASNS ] |                   | tionship of Reporting Pe<br>all applicable)             | erson(s) to Issuer    |
| Gerngross           | <u>Tillman U.</u>  |                     |  | X                 | Director  | 10% Owner             |
| (Last)<br>C/O ARSAN | 1                  | (Middle)            | 3. Date of Earliest Transaction (Month/Day/Year)<br>06/05/2018               |                   | Officer (give title<br>below)                           | Other (specify below) |
| 890 WINTER          | R STREET, SUT      | E 230               | 4. If Amendment, Date of Original Filed (Month/Day/Year)                     | 6. Indiv<br>Line) | vidual or Joint/Group Fili                              | ng (Check Applicable  |
| (Street)<br>WALTHAM | МА                 | 02451               |  | X                 | Form filed by One Re<br>Form filed by More th<br>Person |                       |
| (City)              | (State)            | (Zip)               |  |                   |   |                       |

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

| - L |                                 | <br>•   |                              | <u> </u> | ,   |               |       |  |                 |   |
|-----|---------------------------------|---|------------------------------|----------|---|---------------|-------|--|-----------------|---|
|     | 1. Title of Security (Instr. 3) | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 3.<br>Transa<br>Code (<br>8) | ction    | 4. Securities Acquired (A) or<br>Disposed Of (D) (Instr. 3, 4 and<br>5) |               |       | Securities<br>Beneficially<br>Owned Following                                  | (D) or Indirect | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|     |                                 |   | Code                         | v        | Amount  | (A) or<br>(D) | Price | <ul> <li>Reported</li> <li>Transaction(s)</li> <li>(Instr. 3 and 4)</li> </ul> |                 | (instr. 4)  |

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

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4.<br>Transa<br>Code (<br>8) |   | of I   |     | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 7. Title and Amount<br>of Securities<br>Underlying<br>Derivative Security<br>(Instr. 3 and 4) |  | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 4) | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---|---|--|---|------------------------------|---|--------|-----|--|--------------------|---|--|---|--|--|--|
|   |   |  |   | Code                         | v | (A)    | (D) | Date<br>Exercisable  | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares |   |  |  |  |
| Stock<br>Option<br>(right to<br>buy)                | \$16.99   | 06/05/2018                                 |   | A                            |   | 10,000 |     | (1)  | 06/04/2028         | Common<br>Stock   | 10,000                                 | \$0.00  | 10,000   | D  |  |

**Explanation of Responses:** 

1. The option becomes exercisable as to 1/12th of the shares underlying the award on the one-month anniversary of the date of grant, with the remainder vesting in equal monthly installments until the first anniversary of the date of grant, subject to the Reporting Person's continued service as a director through each applicable vesting date.

#### **Remarks:**

### /s/ Michael Gray, attorney-in-<u>fact</u>

06/07/2018

\*\* 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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