SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

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

1. Name and Addr Henrich Jill	ess of Reporting F	2. Date of Event Requiring Statement (Month/Day/Year) 06/01/2023		3. Issuer Name and Ticker or Trading Symbol <u>Atara Biotherapeutics, Inc.</u> [ATRA]						
(Last)(First)(Middle)C/O ATARA BIOTHERAPEUTICS, INC.2380 CONEJO SPECTRUM STREET, SUITE200(Street)THOUSAND OAKSCA91320(City)(State)(Zip)				4. Relationship of Reporting Person((Check all applicable) Director X Officer (give title below) EVP, Global Head RA		10% Owner Other (specify below)		 5. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person 		
Table I - Non-Derivative Securities Beneficially Owned										
1. Title of Security (Instr. 4)					2. Amount of Securities Beneficially Owned (Instr. 4)				4. Nature of Indirect Beneficial Ownership (Instr. 5)	
Common Stock					111,037(1)(2)		D			
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)		d 3. Title and Amount of Securities Derivative Security (Instr. 4)		Conv or Ex		se (D) or	6. Nature of Indirect Beneficial Ownership (Instr. 5)
			Date Exercisable	Expiratio Date	n Title		Amount or Number of Shares	Price of Derivativ Security	Indirect (I) e (Instr. 5)	
Employee Stock	k Option (Right	t to Buy)	05/08/2023	09/07/203	0	Common Stock	40,000	13.46	D	
Employee Stock Option (Right to Buy)		(3)	09/07/203	0	Common Stock	20,000	13.46	D		
Employee Stock Option (Right to Buy)		06/01/2023	02/28/203	1	Common Stock	19,416	17.105	D		
Employee Stock Option (Right to Buy)		(4)	02/28/203	1	Common Stock	15,103	17.105	D		
Employee Stock Option (Right to Buy)			06/01/2023	02/29/203	2	Common Stock	16,601	10.21	D	
Employee Stock Option (Right to Buy)			(5)	02/29/203	2	Common Stock	36,525	10.21	D	
Employee Stock Option (Right to Buy)			06/01/2023	02/28/203	3	Common Stock	7,869	3.91	D	
Employee Stock Option (Right to Buy)			(5)	02/28/203	3	Common Stock	86,564	3.91	D	

Explanation of Responses:

1. Includes an aggregate 79,169 restricted stock units ("RSUs"), which are comprised of: (i) 11,256 RSUs that vest as to 1/6th of shares on August 15, 2023, and each of the next five (5) Quarterly Vesting Dates (as defined herein); (ii) 10,008 RSUs that vest as to 1/7th of shares on August 15, 2023 and each of the next six (6) Quarterly Vesting Dates; (iii) 19,432 RSUs that vest as to 1/11th of shares on August 15, 2023 and each of the next ten (10) Quarterly Vesting Dates; and (iv) 38,473 RSUs that vest as to 1/11th of shares on August 15, 2023 and each of the next ten (10) Quarterly Vesting Dates, each of which is subject to the reporting person's continuous service.

2. "Quarterly Vesting Date" means March 1, May 15, August 15, and November 15 of each year, provided that if such date falls on a weekend or holiday, the "Quarterly Vesting Date" shall be the first (1st) business day after such date.

3. 1/16th of shares subject to the stock option vest and become exercisable on June 8, 2023, and the remaining shares vest in equal monthly installments over the following fifteen (15) months, subject to the reporting person's continuous service.

4. 1/21st of shares subject to the stock option vest and become exercisable on July 1, 2023, and the remaining shares vest in equal monthly installments over the following twenty (20) months, subject to the reporting person's continuous service

5. 1/33rd of shares subject to the stock option vest and become exercisable on July 1, 2023, and the remaining shares vest in equal monthly installments over the following thirty-two (32) months, subject to the reporting person's continuous service.

Remarks:

Exhibit 24 - Power of Attorney

/s/ Jeff Kiekhofer, Attorney-in-06/09/2023 Fact for Jill Henrich

** 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 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).

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.

POWER OF ATTORNEY

The undersigned, as a Section 16 reporting person of Atara Biotherapeutics, Inc. (the "Company"), hereby constitutes and appoints Eric Hyllengren, Jeff Kiekhofer, Amar Murugan, John Chao and Kathleen Klaben the undersigned's true and lawful attorneys-in-fact to:

1. Complete and execute Forms 3, 4 and 5 and other forms and all amendments thereto as such attorneys-in-fact shall in their discretion determine to be required or advisable pursuant to Section 16 of the Securities Exchange Act of 1934 (as amended) and the rules and regulations promulgated thereunder, or any successor laws and regulations, as a consequence of the undersigned's ownership, acquisition or disposition of securities of the Company; and

2. Do all acts necessary in order to file such forms with the Securities and Exchange Commission, any securities exchange or national association, the Company and such other person or agency as the attorneys-in-fact shall deem appropriate.

The undersigned hereby ratifies and confirms all that said attorneys-in-fact and agents shall do or cause to be done by virtue hereof. The undersigned acknowledges that the foregoing attorneys-in-fact, in serving in such capacity at the request of the undersigned, is not assuming, nor is the Company assuming, any of the undersigned's responsibilities to comply with Section 16 of the Securities Exchange Act of 1934 (as amended).

This Power of Attorney shall remain in full force and effect until the undersigned is no longer required to file Forms 3, 4 and 5 with respect to the undersigned's holdings of and transactions in securities issued by the Company, unless earlier revoked by the undersigned in a signed writing delivered to the Company and the foregoing attorneys-in-fact.

The undersigned hereby terminates all prior powers of attorney regarding the subject matter hereof.

IN WITNESS WHEREOF, the undersigned has caused this Power of Attorney to be executed as of May 10, 2023.

Signature:

/s/ Jill Henrich Jill Henrich