SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL
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1. Name and Addr	Person [*]	2. Date of Event Requiring		3. Issuer Name and Ticker or Trading Symbol						
Joshi Manher			Statement (Month/Day/Year) 06/01/2023							
(Last) (First) (Middle)					4. Relationship of Reporting Person(s) to Issuer (Check all applicable)			5. If Amendment, Date of Original Filed (Month/Day/Year)		
C/O ATARA BIOTHERAPEUTICS, INC. 2380 CONEJO SPECTRUM STREET, SUITE 200					Director 10% Owner X Officer (give title below) Other (specific below) EVP, Chief Medical Officer		fy App	ndividual or Joint/Group Filing (Check licable Line) X Form filed by One Reporting Person Form filed by More than One Reporting		
(Street) THOUSAND OAKS	СА	91320						Person		
(City)	(State)	(Zip)								
			Table I - No	n-Deriva	tive Securities Beneficially	Owned	· · ·			
1. Title of Security (Instr. 4)					. Amount of Securities Beneficially Owned (Instr. 4)	3. Ownership Form: Direct Indirect (I) (In	(D) or 5)	ture of Indirect E	Beneficial Ownership (Instr.	
Common Stock					190,546(1)(2)	D				
					ve Securities Beneficially Ov ants, options, convertible se					
1. Title of Derivative Security (Instr. 4)			2. Date Exercisable an Expiration Date (Month/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise	(D) or	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
							Dute a st		(
			Date Exercisable	Expiratior Date	Title	Amount or Number of Shares	Price of Derivative Security	Indirect (I) (Instr. 5)	(
Employee Stock	k Option (Righ	t to Buy)			Title	or Number	Derivative			
Employee Stock	1	• /	Exercisable	Date	Title Common Stock	or Number of Shares	Derivative Security	(Instr. 5)		
	k Option (Righ	t to Buy)	Exercisable 08/01/2020	Date 08/31/2023	Title Common Stock Common Stock	or Number of Shares 75,000	Derivative Security 19.85	(Instr. 5)		
Employee Stock	k Option (Right k Option (Right	t to Buy) t to Buy)	Exercisable 08/01/2020 02/06/2022	Date 08/31/2023 02/05/2025	Title Common Stock Common Stock Common Stock	or Number of Shares 75,000 35,000	Derivative Security 19.85 35.8	(Instr. 5)		
Employee Stock	k Option (Righ k Option (Righ k Option (Righ	t to Buy) t to Buy) t to Buy)	Exercisable 08/01/2020 02/06/2022 02/06/2023	Date 08/31/2023 02/05/2025 02/05/2029	Title Common Stock Common Stock Common Stock Common Stock Common Stock	or Number of Shares 75,000 35,000 30,350	Derivative Security 19.85 35.8 38.47	(Instr. 5)		
Employee Stock Employee Stock	 Coption (Right Coption (Right Coption (Right Coption (Right 	t to Buy) t to Buy) t to Buy) t to Buy)	Exercisable 08/01/2020 02/06/2022 02/06/2023 06/01/2023	Date 08/31/2023 02/05/2025 02/05/2029 02/28/2030	Title Common Stock Common Stock Common Stock Common Stock Common Stock Common Stock	or Number of Shares 75,000 35,000 30,350 54,640	Derivative Security 19.85 35.8 38.47 12.15	(Instr. 5)		
Employee Stock Employee Stock Employee Stock	<pre>< Option (Righ < Option (Righ))</pre>	t to Buy) t to Buy) t to Buy) t to Buy) t to Buy)	Exercisable 08/01/2020 02/06/2022 02/06/2023 06/01/2023 (3)	Date 08/31/2023 02/05/2025 02/05/2029 02/28/2030 02/28/2030	Title Common Stock	or Number of Shares 75,000 35,000 30,350 54,640 12,610	Derivative Security 19.85 35.8 38.47 12.15 12.15	(Instr. 5)		
Employee Stock Employee Stock Employee Stock Employee Stock	Coption (Right Coption (Right Coption (Right Coption (Right Coption (Right Coption (Right)	t to Buy) t to Buy) t to Buy) t to Buy) t to Buy) t to Buy)	Exercisable 08/01/2020 02/06/2022 02/06/2023 06/01/2023 03) 06/01/2023	Date 08/31/2023 02/05/2025 02/05/2029 02/28/2030 02/28/2030 02/28/2031	Title Common Stock	or Number of Shares 75,000 35,000 30,350 54,640 12,610 32,022	Derivative Security 19.85 35.8 38.47 12.15 12.15 17.105	(Instr. 5)		
Employee Stock Employee Stock Employee Stock Employee Stock Employee Stock	 < Option (Righ 	t to Buy) t to Buy) t to Buy) t to Buy) t to Buy) t to Buy) t to Buy)	Exercisable 08/01/2020 02/06/2023 06/01/2023 (3) 06/01/2023 (4)	Date 08/31/2023 02/05/2025 02/05/2029 02/28/2030 02/28/2030 02/28/2031 02/28/2031	Title Common Stock	or Number of Shares 75,000 35,000 30,350 54,640 12,610 32,022 24,907	Derivative Security 19.85 35.8 38.47 12.15 12.15 17.105 17.105	(Instr. 5) D D D D D D D D D D D		
Employee Stock Employee Stock Employee Stock Employee Stock Employee Stock Employee Stock	x Option (Righ	t to Buy) t to Buy)	Exercisable 08/01/2020 02/06/2023 02/06/2023 06/01/2023 06/01/2023 (4) 06/01/2023	Date 08/31/2023 02/05/2025 02/05/2029 02/28/2030 02/28/2030 02/28/2031 02/28/2031 02/28/2031 02/29/2032	Title Common Stock Common Stock	or Number of Shares 75,000 35,000 30,350 54,640 12,610 32,022 24,907 31,359	Derivative Security 19.85 35.8 38.47 12.15 12.15 17.105 10.21	(Instr. 5) D D D D D D D D D D D D D D		

Explanation of Responses:

1. Includes an aggregate 185,436 restricted stock units ("RSUs"), which are comprised of: (i) 6,312 RSUs that vest as to 1/3rd of shares on August 15, 2023 and each of the next two (2) Quarterly Vesting Dates; (ii) 5,625 RSUs that vest as to 1/3rd of shares on August 15, 2023 and each of the next two (2) Quarterly Vesting Dates; (iii) 36,704 RSUs that vest as to 1/1th of shares on August 15, 2023 and each of the next two (2) Quarterly Vesting Dates; (iv) 36,704 RSUs that vest as to 1/1th of shares on August 15, 2023 and each of the next two (2) Quarterly Vesting Dates; (iv) 36,704 RSUs that vest as to 1/1th of shares on August 15, 2023 and each of the next ten (10) Quarterly Vesting Dates; (v) 30,000 RSUs that vest as to 1/2nd of shares on November 15, 2023 and each of the next ten (10) Quarterly Vesting Dates; (v) 30,000 RSUs that vest as to 1/2nd of shares on November 15, 2023 and each of the next ten (10) Quarterly Vesting Dates; (v) 30,000 RSUs that vest as to 1/2nd of shares on November 15, 2023 and each of the next ten (10) Quarterly Vesting Dates; (v) 30,000 RSUs that vest as to 1/2nd of shares on November 15, 2023 and each of the next ten (10) Quarterly Vesting Dates; (v) 30,000 RSUs that vest as to 1/2nd of shares on November 15, 2023 and each of the next ten (10) Quarterly Vesting Dates; (v) 30,000 RSUs that vest as to 1/2nd of shares on November 15, 2023 and each of the next ten (10) Quarterly Vesting Dates; (v) 30,000 RSUs that vest as to 1/11th of shares on August 15, 2023 and each of the next ten (10) Quarterly Vesting Dates; (v) 30,000 RSUs that vest as to 1/2nd of shares on August 15, 2023 and each of the next ten (10) Quarterly Vesting Dates; (v) 30,000 RSUs that vest as to 1/2nd of shares on Superson'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. 1/9th 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 eight (8) 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-Fact for Manher Joshi

06/09/2023

** 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/ Manher Joshi

Manher (AJ) Joshi