### Edgar Filing: MIRAGEN THERAPEUTICS, INC. - Form 3

MIRAGEN THERAPEUTICS, INC. Form 3 February 13, 2017 UNITED STATES SECURITIES AND EXCHANGE COMMISSION FORM 3 Washington, D.C. 20549 OMB

### **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

#### OMB APPROVAL

3235-0104 Number: January 31, Expires: 2005 Estimated average burden hours per 0.5 response...

(Print or Type Responses)

1. Name and Address of Reporting Person <u>*</u> KOCH KEVIN			2. Date of Event Requiring Statement (Month/Day/Year)	3. Issuer Name and Ticker or Trading Symbol MIRAGEN THERAPEUTICS, INC. [MGEN]				
(Last)	(First)	(Middle)	02/13/2017	4. Relationship of Reporting Person(s) to Issuer			5. If Amendment, Date Original Filed(Month/Day/Year)	
C/O MIRAGEN THERAPEUTICS, INC., 6200 LOOKOUT ROAD (Street) BOULDER, CO 80301				(Check all applicable) <u>X</u> Director Officer <u>10%</u> Owner (give title below) (specify below)			6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person	
BOULDER	A COA 80	1301					Form filed by More than One Reporting Person	
(City)	(State)	(Zip)	Table I - Non-Derivative Securities Beneficially Owned					
1.Title of Secu (Instr. 4)	rity		2. Amount o Beneficially (Instr. 4)		3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nat Owner (Instr.	1	
Reminder: Rep owned directly	or indirectly.		ch class of securities benefic	ially S	EC 1473 (7-02	)		
	inforn requi	nation conta red to respo	ained in this form are not nd unless the form displ MB control number.					
]	Table II - De	rivative Secu	rities Beneficially Owned (e	.g., puts, calls,	warrants, opt	tions, co	onvertible securities)	

1. Title of Derivative Security (Instr. 4)	•		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise Price of	5. Ownership Form of Derivative	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of	Derivative Security	Security: Direct (D)	

				Shares		or Indirect (I) (Instr. 5)	
Stock Option (right to buy) $\frac{(1)}{2}$	(2)	08/17/2026	Common Stock	29,248	\$ 1.05	D	Â

## **Reporting Owners**

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
KOCH KEVIN C/O MIRAGEN THERAPEUTICS, INC. 6200 LOOKOUT ROAD BOULDER, CO 80301	ÂX	Â	Â	Â		
Signatures						
/s/ Brent D. Fassett, as Attorney-in-Fact for Koch	r Kevin	02	2/13/201	7		
<u>**</u> 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).

Shares of common stock of the corporation then known as Miragen Therapeutics, Inc. ("Old Miragen") were converted into shares of the Issuer pursuant to that certain Agreement and Plan of Merger and Reorganization, dated as of October 31, 2016, by and among the Issuer,

 Issuer pursuant to that certain Agreement and Plan of Merger and Reorganization, dated as of October 31, 2010, by and among the Issuer, Signal Merger Sub, Inc. and Old Miragen (the "Merger Agreement"). Pursuant to the terms of the Merger Agreement, each share of common stock was converted into 0.7031 shares of the Issuer's common stock.

On August 18, 2016, Reporting Person was granted an option to purchase 41,600 shares of common stock of Old Miragen under the Plan at an exercise price of \$0.74 per share. Pursuant to the Merger Agreement, this option was converted into an option to purchase 29,248 shares of the Issuer's common stock at a per share exercise price of \$1.05. The shares subject to the option vest over three years in equal

(2) quarterly installments beginning on November 18, 2016, provided that at the relevant vesting dates the Reporting Person's continuous service to the Issuer has not been terminated as defined in and as determined under the Plan. The shares underlying the option are subject to accelerated vesting upon the occurrence of specified events including a change of control of the Issuer and the Reporting Person's termination. The option expires ten years after the date of grant.

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## **Remarks:**

## Exhibit List: Exhibit 24 - Power of Attorney

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.