

Williams Rosemary Y.

Form 3

January 04, 2019

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIESFiled 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 *

Â Williams Rosemary Y.

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

08/16/2018

3. Issuer Name **and** Ticker or Trading Symbol
BELLICUM PHARMACEUTICALS, INC [BLCM]4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

Principal Accounting Officer

C/O BELLICUM
PHARMACEUTICALS,
INC.,Â 2130 W. HOLCOMBE
BLVD., STE. 800

(Street)

HOUSTON,Â TXÂ 77030

(City)

(State)

(Zip)

6. Individual or Joint/Group
Filing(Check Applicable Line)
☒ 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)3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)4. Nature of Indirect Beneficial
Ownership
(Instr. 5)

Common Stock

3,186

D

Â

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

SEC 1473 (7-02)

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information contained in this form are not
required to respond unless the form displays a
currently valid OMB control number.****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 Security4. Conversion
or Exercise5. Ownership
Form of6. Nature of Indirect
Beneficial Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date	(Instr. 4) Title	Amount or Number of Shares	Price of Derivative Security	Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	
Stock Option (right to buy)	Â <u>(1)</u>	04/30/2024	Common Stock	17,647	\$ 2.55	D	Â
Stock Option (right to buy)	Â <u>(2)</u>	10/27/2024	Common Stock	11,764	\$ 7.47	D	Â
Stock Option (right to buy)	Â <u>(3)</u>	02/23/2025	Common Stock	14,000	\$ 23.47	D	Â
Stock Option (right to buy)	Â <u>(4)</u>	01/03/2026	Common Stock	15,000	\$ 19	D	Â
Stock Option (right to buy)	Â <u>(5)</u>	01/02/2027	Common Stock	5,625	\$ 13.89	D	Â
Stock Option (right to buy)	Â <u>(6)</u>	07/02/2027	Common Stock	13,125	\$ 11.7	D	Â
Stock Option (right to buy)	Â <u>(7)</u>	01/01/2028	Common Stock	9,225	\$ 9.23	D	Â
Stock Option (right to buy)	Â <u>(8)</u>	07/01/2028	Common Stock	21,525	\$ 7.72	D	Â
Restricted Stock Units	Â <u>(9)</u>	Â <u>(9)</u>	Common Stock	2,344	\$ <u>(10)</u>	D	Â
Restricted Stock Units	Â <u>(11)</u>	Â <u>(11)</u>	Common Stock	5,125	\$ <u>(10)</u>	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Williams Rosemary Y. C/O BELLICUM PHARMACEUTICALS, INC. 2130 W. HOLCOMBE BLVD., STE. 800 HOUSTON, TX 77030	Â	Â	Â Principal Accounting Officer	Â

Signatures

Rosemary Y.
Williams 01/04/2019

**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) 25% of the shares subject to the stock option vest and become exercisable on May 1, 2015, and the remaining shares subject to the stock option vest and become exercisable in 36 equal monthly installments thereafter.
- (2) 25% of the shares subject to the stock option vest and become exercisable on October 28, 2015, and the remaining shares subject to the stock option vest and become exercisable in 36 equal monthly installments thereafter.
- (3) 25% of the shares subject to the stock option vest and become exercisable on February 24, 2016, and the remaining shares subject to the stock option vest and become exercisable in 36 equal monthly installments thereafter.
- (4) 25% of the shares subject to the stock option vest and become exercisable on January 4, 2017, and the remaining shares subject to the stock option vest and become exercisable in 36 equal monthly installments thereafter.
- (5) 25% of the shares subject to the stock option vest and become exercisable on January 3, 2018, and the remaining shares subject to the stock option vest and become exercisable in 36 equal monthly installments thereafter.
- (6) 25% of the shares subject to the stock option vest and become exercisable on July 03, 2018, and the remaining shares subject to the stock option vest and become exercisable in 36 equal monthly installments thereafter.
- (7) 25% of the shares subject to the stock option vest and become exercisable on January 2, 2019, and the remaining shares subject to the stock option vest and become exercisable in 36 equal monthly installments thereafter.
- (8) 25% of the shares subject to the stock option vest and become exercisable on July 02, 2019, and the remaining shares subject to the stock option vest and become exercisable in 36 equal monthly installments thereafter.
- (9) On January 3, 2017, the reporting person was granted restricted stock units (the "RSUs") for 3,125 shares. The RSUs vest in four annual installments beginning on January 3, 2018.
- (10) Each RSU represents a contingent right to receive one share of the Issuer common stock.
- (11) On January 2, 2018, the reporting person was granted the RSUs for 5,125 shares. The RSUs vest in four equal annual installments beginning on January 2, 2019.

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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