#### **DUGGAN ROBERT W**

Form 4

January 05, 2018

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB Number:

Expires:

3235-0287

January 31,

2005

0.5

Estimated average burden hours per

**OMB APPROVAL** 

response...

Form 4 or Form 5 obligations may continue.

Check this box

if no longer

Section 16.

subject to

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

See Instruction 1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* **DUGGAN ROBERT W** 

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

below)

Achaogen Inc [AKAO]

(Check all applicable)

(Last)

(First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year)

Director Officer (give title \_X\_\_ 10% Owner \_ Other (specify

611 SOUTH FORT HARRISON

(Street)

AVE, SUITE 306

4. If Amendment, Date Original

Applicable Line) \_X\_ Form filed by One Reporting Person

6. Individual or Joint/Group Filing(Check

Filed(Month/Day/Year)

01/03/2018

Form filed by More than One Reporting

CLEARWATER, FL 33756

| (City)  | (State)                                 | (Zip) Tab   | le I - Non-        | Derivative    | Secui | rities Acquir  | red, Disposed of,  | or Beneficiall  | y Owned         |
|---|---|---|--------------------|---------------|-------|--|--|---|-----------------|
| 1.Title of<br>Security<br>(Instr. 3)                  | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | Code<br>(Instr. 8) |               |       | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |                 |
| Common<br>Stock, par<br>value<br>\$0.001 per<br>share | 01/03/2018                              |   | Code V             | Amount 15,000 | (D)   | Price<br>\$<br>10.8902   | 5,617,752  | D   |                 |
| Common<br>Stock, par<br>value<br>\$0.001 per<br>share | 01/05/2018                              |   | P                  | 50,000        | A     | \$ 11.51   | 5,667,752  | D   |                 |
| Common<br>Stock, par                                  |   |   |                    |               |       |  | 72,170   | I   | See<br>Footnote |

(1) value \$0.001 per

share

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

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

| 1. Title of Derivative | 2. Conversion          | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if | 4.<br>Transacti | 5.<br>onNumber         | 6. Date Exerc<br>Expiration D |            | 7. Titl |              | 8. Price of Derivative | 9. Nu<br>Deriv |
|------------------------|------------------------|--------------------------------------|-------------------------------|-----------------|------------------------|-------------------------------|------------|---------|--------------|------------------------|----------------|
| Security               | or Exercise            |                                      | any                           | Code            | of                     | (Month/Day/                   | Year)      | Under   | , ,          | Security               | Secui          |
| (Instr. 3)             | Price of               |                                      | (Month/Day/Year)              | (Instr. 8)      | Derivative             |                               |            | Secur   |              | (Instr. 5)             | Bene           |
|                        | Derivative<br>Security |                                      |                               |                 | Securities<br>Acquired |                               |            | (Instr. | . 3 and 4)   |                        | Owne<br>Follo  |
|                        | Security               |                                      |                               |                 | (A) or                 |                               |            |         |              |                        | Repo           |
|                        |                        |                                      |                               |                 | Disposed               |                               |            |         |              |                        | Trans          |
|                        |                        |                                      |                               |                 | of (D)                 |                               |            |         |              |                        | (Instr         |
|                        |                        |                                      |                               |                 | (Instr. 3,             |                               |            |         |              |                        |                |
|                        |                        |                                      |                               |                 | 4, and 5)              |                               |            |         |              |                        |                |
|                        |                        |                                      |                               |                 |                        |                               |            |         | Amount       |                        |                |
|                        |                        |                                      |                               |                 |                        | Date                          | Expiration |         | or           |                        |                |
|                        |                        |                                      |                               |                 |                        | Exercisable                   | Date       | Title   | Number       |                        |                |
|                        |                        |                                      |                               | Code V          | (A) (D)                |                               |            |         | of<br>Shares |                        |                |
|                        |                        |                                      |                               | Code v          | $(\Delta)$             |                               |            |         | Silaies      |                        |                |

# **Reporting Owners**

| Reporting Owner Name / Address | Relationships |  |       |      |     |  |
|--------------------------------|---------------|--|-------|------|-----|--|
|                                | ъ.            |  | 100 0 | 0.00 | 0.1 |  |

10% Owner Officer Other

**DUGGAN ROBERT W** 611 SOUTH FORT HARRISON AVE **SUITE 306** 

X

CLEARWATER, FL 33756

## **Signatures**

Robert W. Duggan, By: /s/ Robert W. 01/05/2018 Duggan

> \*\*Signature of Reporting Person Date

## **Explanation of Responses:**

- 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).
- (1) Shares are held by Genius Inc., of which the Reporting Person is the sole shareholder.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Reporting Owners 2

## Edgar Filing: DUGGAN ROBERT W - Form 4

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