

HOMCY CHARLES J
Form 5
February 14, 2018

FORM 5

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

OMB APPROVAL

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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).
Form 3 Holdings Reported Form 4 Transactions Reported

ANNUAL STATEMENT OF CHANGES IN 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

1. Name and Address of Reporting Person *
HOMCY CHARLES J

2. Issuer Name and Ticker or Trading Symbol
Global Blood Therapeutics, Inc.
[GBT]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year)
12/31/2017

Director 10% Owner
 Officer (give title below) Other (specify below)

C/O GLOBAL BLOOD THERAPEUTICS, INC., 171 OYSTER POINT BLVD, SUITE 300

(Street)

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Reporting

(check applicable line)

SOUTH SAN FRANCISCO, CA 94080

(City) (State) (Zip)

Form Filed by One Reporting Person
 Form Filed by More than One Reporting Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned at end of Issuer's Fiscal Year (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|--|--|---|
| Common Stock | 04/06/2017 | ^ | J(1) | 7,798 D | \$ 0 34,877 | D | ^ |
| Common Stock | 04/13/2017 | ^ | J(2) | 7,798 A | \$ 0 22,841 | I | By Charles Homcy Revocable Trust |

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| | | | | | | | | | |
|--------------|------------|---|-------------------|---------|---|------|---------|---|----------------------------------|
| Common Stock | 05/17/2017 | Â | J ⁽³⁾ | 3,277 | D | \$ 0 | 31,610 | D | Â |
| Common Stock | 05/25/2017 | Â | J ⁽⁴⁾ | 3,277 | A | \$ 0 | 26,118 | I | By Charles Homcy Revocable Trust |
| Common Stock | 06/14/2017 | Â | J ⁽⁵⁾ | 1,504 | D | \$ 0 | 30,106 | D | Â |
| Common Stock | 06/21/2017 | Â | J ⁽⁶⁾ | 1,504 | A | \$ 0 | 27,622 | I | By Charles Homcy Revocable Trust |
| Common Stock | 07/28/2017 | Â | J ⁽⁷⁾ | 112,685 | A | \$ 0 | 140,307 | I | By Charles Homcy Revocable Trust |
| Common Stock | 09/21/2017 | Â | J ⁽⁸⁾ | 2,563 | D | \$ 0 | 27,543 | D | Â |
| Common Stock | 09/26/2017 | Â | J ⁽⁹⁾ | 2,563 | A | \$ 0 | 142,870 | I | By Charles Homcy Revocable Trust |
| Common Stock | 10/26/2017 | Â | J ⁽¹⁰⁾ | 70,000 | D | \$ 0 | 72,870 | I | By Charles Homcy Revocable Trust |
| Common Stock | 11/21/2017 | Â | J ⁽¹¹⁾ | 6,359 | D | \$ 0 | 21,184 | D | Â |
| Common Stock | 11/28/2017 | Â | J ⁽¹²⁾ | 6,359 | A | \$ 0 | 79,229 | I | By Charles Homcy Revocable Trust |
| Common Stock | Â | Â | Â | Â | Â | Â | 1,600 | I | By Charles Homcy Revocable Trust |

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

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(9-02)

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. Transaction | 5. Number | 6. Date Exercisable and Expiration Date | 7. Title and Amount of | 8. Price of Derivative | 9. of |
|------------------------|---------------|--------------------------------------|-------------------------------|----------------|-----------|---|------------------------|------------------------|-------|
|------------------------|---------------|--------------------------------------|-------------------------------|----------------|-----------|---|------------------------|------------------------|-------|

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| Security (Instr. 3) | or Exercise Price of Derivative Security | any (Month/Day/Year) | Code (Instr. 8) | of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | (Month/Day/Year) | Underlying Securities (Instr. 3 and 4) | Security (Instr. 5) | D | |
|---------------------|--|----------------------|-----------------|---|------------------|--|---------------------|-------|----------------------------|
| | | | | | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| HOMCY CHARLES J C/O GLOBAL BLOOD THERAPEUTICS, INC. 171 OYSTER POINT BLVD, SUITE 300 SOUTH SAN FRANCISCO, CA 94080 | X | X | X | X |

Signatures

/s/ Lesley Calhoun as Attorney-in-Fact for the Reporting Person 02/14/2018

**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) Includes 7,798 shares received by the Reporting Person in a distribution-in-kind by Third Rock Ventures II, L.P. ("TRV II"), which distribution was made in accordance with the exemption afforded by Rule 16a-13 of the Securities Exchange Act of 1934, as amended.
 - (2) These shares were subsequently transferred to the Reporting Person's revocable trust on April 13, 2017. This report is being filed with respect to this transaction solely to correct the total number of shares directly and indirectly held by the Reporting Person immediately following the transaction.
- (3) Includes 3,277 shares received by the Reporting Person in a distribution-in-kind by TRV II, which distribution was made in accordance with the exemption afforded by Rule 16a-13 of the Securities Exchange Act of 1934, as amended.
 - (4) These shares were subsequently transferred to the Reporting Person's revocable trust on May 25, 2017. This report is being filed with respect to this transaction solely to correct the total number of shares directly and indirectly held by the Reporting Person immediately following the transaction.
- (5) Includes 1,504 shares received by the Reporting Person in a distribution-in-kind by TRV II, which distribution was made in accordance with the exemption afforded by Rule 16a-13 of the Securities Exchange Act of 1934, as amended.
 - (6) These shares were subsequently transferred to the Reporting Person's revocable trust on June 21, 2017. This report is being filed with respect to this transaction solely to correct the total number of shares directly and indirectly held by the Reporting Person immediately following the transaction.
 - (7) These shares were subsequently transferred to the Reporting Person's revocable trust on July 28, 2017. This report is being filed with respect to this transaction solely to correct the total number of shares directly and indirectly held by the Reporting Person immediately following the transaction.

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- (8) Includes 2,563 shares received by the Reporting Person in a distribution-in-kind by TRV II, which distribution was made in accordance with the exemption afforded by Rule 16a-13 of the Securities Exchange Act of 1934, as amended.
- These shares were subsequently transferred to the Reporting Person's revocable trust on September 26, 2017. This report is being filed
- (9) with respect to this transaction solely to correct the total number of shares directly and indirectly held by the Reporting Person immediately following the transaction.
- (10) Represents trades for 70,000 shares previously reported on Form 4 filed by the Reporting Person on October 27, 2017. These trades are being included on this Form 5 solely to correct the form of ownership immediately following the transaction.
- (11) Includes 6,359 shares received by the Reporting Person in a distribution-in-kind by TRV II, which distribution was made in accordance with the exemption afforded by Rule 16a-13 of the Securities Exchange Act of 1934, as amended.
- These shares were subsequently transferred to the Reporting Person's revocable trust on November 28, 2017. This report is being filed
- (12) with respect to this transaction solely to correct the total number of shares directly and indirectly held by the Reporting Person immediately following the transaction.

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.