#### Edgar Filing: Lee Catherine Chai-zon - Form 4

| Lee Catherine Cl<br>Form 4<br>November 02, 20  |                                     |                                   |   |  |   |                                      |   |   |  |              |
|--|-------------------------------------|-----------------------------------|---|--|---|--------------------------------------|---|---|--|--------------|
| <b>FORM 4</b><br>Check this box<br>if no longer<br>subject to<br>Section 16.<br>Form 4 or<br>Form 5<br>obligations<br>may continue.<br><i>See</i> Instruction<br>1(b). | UNITED S                            | ENT OF<br>uant to S<br>) of the F | Wasl<br>F CHANG<br>Section 16                                     | hington,<br>GES IN<br>SECUR<br>(a) of the<br>lity Holo | D.C. 205<br>BENEFI<br>ITIES<br>e Securiti<br>ling Com | 5 <b>49</b><br>CIAI<br>es Ex<br>pany | <b>OW</b><br>chang<br>Act of  | COMMISSION<br>NERSHIP OF<br>e Act of 1934,<br>f 1935 or Section<br>40 | OMB<br>Number:<br>Expires:<br>Estimated a<br>burden hou<br>response  | rs per       |
| (Print or Type Respo<br>1. Name and Addre<br>Lee Catherine C   | ss of Reporting Pe                  | erson <u>*</u>                    | Symbol  |  | Ticker or T   |                                      | 5   | 5. Relationship of<br>Issuer  |  |              |
| (Last)<br>4767 NEXUS C   | · · · ·                             | iddle)<br>7E                      | 3. Date of Earliest Transaction<br>(Month/Day/Year)<br>11/02/2018 |  |   |                                      | (Check all applicable)<br><u> </u>  |   |  |              |
| (Street) 4. If Amendment, Date Origin<br>Filed(Month/Day/Year)<br>SAN DIEGO, CA 92121  |                                     |                                   |   | -  |   |                                      | <ul> <li>6. Individual or Joint/Group Filing(Check<br/>Applicable Line)</li> <li>_X_ Form filed by One Reporting Person</li> <li> Form filed by More than One Reporting<br/>Person</li> </ul> |   |  |              |
| (City)   | (State) (Z                          | Zip)                              | Table   | I - Non-D  | erivative S   | ecurit                               | ies Acq   | uired, Disposed of  | , or Beneficial  | ly Owned     |
|  | Transaction Date<br>lonth/Day/Year) | Execution<br>any                  | ned   | 3.   |   | ies Ac<br>sposed                     | quired<br>of  | 5. Amount of<br>Securities<br>Beneficially<br>Owned                   | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of |
| Common 11  | /02/2018                            |                                   |   | U  | 36,920  | D                                    | \$<br>1.5   | 0   | D  |              |

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

Stock

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)

(2)

3235-0287 January 31, 2005

0.5

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4. 5. Number of<br>TransactiorDerivative<br>Code Securities<br>(Instr. 8) Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4, and<br>5) |     | DerivativeExpiration DateSecurities(Month/Day/Year)Acquired (A) orDisposed of (D)(Instr. 3, 4, and |                     | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) |                 |                                  |
|---|---|---|---|---|-----|--|---------------------|---|-----------------|----------------------------------|
|   |   |   |   | Code V  | (A) | (D)  | Date<br>Exercisable | Expiration<br>Date  | Title           | Amount or<br>Number of<br>Shares |
| Stock<br>Option<br>(right to<br>buy)                | \$ 1.02   | 11/02/2018                              |   | D   |     | 171,750  | <u>(3)</u>          | 03/14/2027  | Common<br>Stock | 171,750                          |
| Stock<br>Option<br>(right to<br>buy)                | \$ 1.05   | 11/02/2018                              |   | D   |     | 148,500  | <u>(3)</u>          | 03/14/2028  | Common<br>Stock | 148,500                          |

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# **Reporting Owners**

| <b>Reporting Owner Name / Address</b>                                    | Relationships |           |                              |       |  |  |  |
|--|---------------|-----------|------------------------------|-------|--|--|--|
|  | Director      | 10% Owner | Officer                      | Other |  |  |  |
| Lee Catherine Chai-zon<br>4767 NEXUS CENTRE DRIVE<br>SAN DIEGO, CA 92121 |               |           | Sr. V.P. Gen. Counsel & Sec. |       |  |  |  |

# Signatures

| /s/ Catherine C.<br>Lee                    | 11/02/2018 |  |  |  |
|--|------------|--|--|--|
| <u>**</u> Signature of<br>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 6,169 and 8,653 shares of Common Stock that were acquired by the Reporting Person on 8/31/18 and 10/31/18, respectively, pursuant to the Issuer's Employee Stock Purchase Plan.

Disposed of pursuant to an Agreement and Plan of Merger (the "Merger Agreement"), dated September 16, 2018, among the Issuer, Firmenich Incorporated, a Delaware corporation ("Parent"), and Sentry Merger Sub, Inc., a Delaware corporation and a wholly owned

(2) subsidiary of Parent ("Purchaser") in exchange for a cash consideration of \$1.50 per share, without interest, subject to any applicable withholding of taxes. Pursuant to the Merger Agreement, the Purchaser merged with and into the Issuer, with the Issuer surviving as a wholly owned subsidiary of Parent (the "Merger").

This option was cancelled in the Merger in exchange for a cash payment equal to \$1.50 per share (without interest) minus the per share(3) exercise price of the option. In connection with the Merger, vesting of the option was accelerated and the option became fully vested and exercisable effective immediately prior to the effective time of the Merger.

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.