Novartis Bioventures Ltd Form 4 April 18, 2018

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB APPROVAL

OMB 3235-0287 Number:

January 31, Expires: 2005

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obligations may continue. See Instruction

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(b).

Common

Stock, par

value

\$0.0001

04/16/2018

(Print or Type Responses)

			2. Issuer Name and Ticker or Trading Symbol Altimmune, Inc. [ALT]			5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
(Last)	(First)	(Middle)	3. Date of	Earliest Tr	ansaction		(Circ	ск ан аррисаон	·)
G10 27077.	D. 1974		(Month/D	•			Director	_X_ 10%	
			04/16/20	04/16/2018			Officer (give below)	below)	er (specify
INTERNATIONAL AG, LICHTSTRASSE 35									
AG, LICHT									
	(Street)		4. If Amendment, Date Original			6. Individual or Joint/Group Filing(Check			
Filed(M BASEL, V8 CH-4056			Filed(Mon	Filed(Month/Day/Year)			Applicable Line) Form filed by One Reporting Person _X_ Form filed by More than One Reporting		
							Person		
(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned									
1.Title of Security (Instr. 3)	2. Transaction Da (Month/Day/Year	r) Execution	med on Date, if Day/Year)	3. Transactic Code (Instr. 8)	4. Securitie on(A) or Disp (Instr. 3, 4		5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	
Common Stock, par value \$0.0001	04/16/2018			J <u>(1)</u>	482,907	A (1)	3,616,889	I	See Footnote (2)

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

 $J_{-}^{(1)}$

217,159 A

(1)

3,834,048

See

(2)

Footnote

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SEC 1474

(9-02)

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

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transactic Code (Instr. 8)	5. Number of orDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amou Underlying Secur (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Am Nur Sha
Series B Convertible Preferred Stock	\$ 2.67 (3)	04/16/2018		J <u>(1)</u>	344.9398	08/21/2017	08/15/2018	Common Stock, par value \$0.0001	12

Reporting Owners

Reporting Owner Name / Address	Relationships				
	Director	10% Owner	Officer	Other	
Novartis Bioventures Ltd C/O NOVARTIS INTERNATIONAL AG LICHTSTRASSE 35 BASEL, V8 CH-4056		X			
NOVARTIS AG C/O NOVARTIS INTERNATIONAL AG LICHTSTRASSE 35 BASEL, V8 CH-4056		X			

Signatures

/s/ Bart Dzikowski, Secretary of the Board of Novartis Bioventures Ltd	04/18/2018
**Signature of Reporting Person	Date
/s/ Stephan Sandmeier, Authorized Signatory of Novartis Bioventures Ltd	04/18/2018
**Signature of Reporting Person	Date
/s/ Bart Dzikowski, Authorized Signatory of Novartis AG	04/18/2018
**Signature of Reporting Person	Date
/s/ Stephan Sandmeier, Authorized Signatory of Novartis AG	04/18/2018

Reporting Owners 2

**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).
- Pursuant to the terms of the Series B Convertible Preferred Stock (the "Preferred Stock"), the Issuer converted the Preferred Stock into (1) shares of the Issuer's common stock, par value \$0.0001 per share (the "Common Stock") at the installment conversion price of \$0.7143 per share of Common Stock.
- The board of directors of Novartis Bioventures Ltd has sole voting and investment control and power over such securities. None of the members of its board of directors has individual voting or investment power with respect to such securities and each disclaims beneficial ownership of such securities. Novartis Bioventures Ltd is an indirectly owned subsidiary of Novartis AG.
- (3) The Issuer's Preferred Stock is convertible at any time at the option of the holder into shares of the Issuer's Common Stock, subject to certain restrictions, at an initial conversion price of \$2.67 per share and a stated amount of \$1,000 per share.

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.

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