SEC Form 5

FORM 5

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

٦	Form 3 Holdings Reported.

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

ANNUAL STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OMB APPROVAL
OMB Number: 3235-0362

Estimated average burden hours per response: 1.0

Form 4	Transactions F	Reported.	File	ed pursuant to or Sectio					rities Excha ompany Ao										
1. Name and Address of Reporting Person [*] <u>Novartis Institutes for BioMedical</u> <u>Research, Inc.</u>				Intellia	2. Issuer Name and Ticker or Trading Symbol Intellia Therapeutics, Inc. [NTLA]									5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director X 10% Owner Officer (give title Other (specify					
(Last) (First) (Middle) 250 MASSACHUSETTS AVENUE					3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year) 12/31/2018									below) below)					
				4. If Amer	ndment	, Date	of Orig	inal File	ed (Month/I	6. Individual or Joint/Group Filing (Check Applicable Line)									
(Street) CAMBRIDGE MA 02139					Form filed by One Reporting Person X Form filed by More than One Reporting Person														
(City)	(St		Zip)		.,.							·							
1. Title of Se	ecurity (Instr. 3		urities Acquired, Disposed of, or Benefic 3. 4. Securities Acquired (A) or Dispose								ed Int of	6.		7. Nature of					
1. The of Security (IISal 5)			2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)		Transaction Code (Instr.		Of (D) (Instr. 3, 4 and 5)			,		Securities Beneficially Owned at end of		Ownership Form: Direct (D) or		Indirect Beneficial Ownership		
								Amou	nt	(A) or (D)	Price		Issuer's Year (In: 4)	Fiscal str. 3 and	Indir (Inst	rect (I) r. 4)	(Instr. 4)		
Common Stock			05/16/2018				1)	25	5,074	A	\$ <mark>0</mark>		4,302,147		D ⁽²⁾				
Common Stock			06/18/2018			J (J (1)		5,074	A	\$ <mark>0</mark>		4,327,221		D ⁽²⁾				
Common Stock 07/16/2018						1)	25	5,074	A	\$ <mark>0</mark>		4,352,295		5 D ⁽²⁾					
		Та	ble II - Derivat. e.g., pı(ive Secur uts, calls,									wned						
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. Transaction Code (Instr. 8)	of Expi		te Exercisable and ation Date th/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. and 4)		8. Price of Derivative Security (Instr. 5) 3		9. Number derivative Securities Beneficial Owned Following Reported Transactic (Instr. 4)	ly	10. Ownersh Form: Direct (D or Indirec (I) (Instr.	Beneficial Ownership (Instr. 4)			
					(A)	(D)	Date Exerc	isable	Expiration Date	n Title	Amour or Numbe of Shares	er							
		Reporting Person [*] es for BioMec																	
(Last) 250 MAS		(First) TTS AVENUE	(Middle)																
(Street) CAMBRIDGE MA		02139																	
(City) (State)		(Zip)																	
	d Address of RTIS AG	Reporting Person [*]																	
(Last) (First) LICHTSTRASSE 35		(Middle)																	
(Street) BASEL		V8	CH-4056																

Explanation of Responses:

(State)

1. Pro rata distribution from Atlas Venture Fund IX, L.P., of which Novartis Institutes for BioMedical Research, Inc. ("NIBRI") is a limited partner.

2. The shares are held directly by NIBRI. NIBRI is an indirect wholly-owned subsidiary of Novartis AG.

(Zip)

Remarks:

(City)

 /s/ Scott A. Brown, VP General Counsel of Novartis Institutes for BioMedical Research, Inc.
 /s/ Christian Rehm, Authorized Signatory on behalf of Novartis
 /s/ Felix Eichhorn, Authorized Signatory on behalf of Novartis
 /s/ Felix Eichhorn, Authorized Signatory on behalf of Novartis
 /2/14/2019 AG
 ** Signature of Reporting Person
 Date

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

* 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).

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.