

ASTRAZENECA PLC  
Form 4  
October 02, 2018

**FORM 4**

**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).

**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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
ASTRAZENECA PLC

2. Issuer Name and Ticker or Trading Symbol  
Entasis Therapeutics Holdings Inc.  
[ETTX]

5. Relationship of Reporting Person(s) to Issuer  
  
(Check all applicable)

(Last) (First) (Middle)  
1 FRANCIS CRICK AVENUE,  
  
(Street)

3. Date of Earliest Transaction  
(Month/Day/Year)  
09/28/2018

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

CAMBRIDGE, X0 CB2 0AA  
  
(City) (State) (Zip)

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

6. Individual or Joint/Group Filing(Check Applicable Line)  
\_\_\_\_ Form filed by One Reporting Person  
\_\_X\_\_ 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 Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |   |                  |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|---|------------------|
|                                 |                                      |  | Code                           | V   | Amount  | (A) or (D)   | Price   |   |                  |
| Common Stock                    | 09/28/2018                           |  | C                              |   | 1,918,185<br>(1)  | A  | \$ 2 1,918,189  | I | See Footnote (3) |
| Common Stock                    | 09/28/2018                           |  | P                              |   | 246,666   | A  | \$ 15 2,164,855                                       | I | See Footnote (3) |

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

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SEC 1474  
(9-02)

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**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. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) |              |                            |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--------------|----------------------------|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable   | Expiration Date   | Title        | Amount of Number of Shares |
| Series A Preferred Stock                   | (2)  | 09/28/2018                           |  | C                              | 33,499,900  | (2)  | (2)   | Common Stock | 1,616,1(2)                 |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |         |       |
|--|---------------|-----------|---------|-------|
|  | Director      | 10% Owner | Officer | Other |
| ASTRAZENECA PLC<br>1 FRANCIS CRICK AVENUE<br>CAMBRIDGE, X0 CB2 0AA                       |               | X         |         |       |
| ASTRAZENECA AB<br>C/O ASTRAZENECA PLC<br>1 FRANCIS CRICK AVENUE<br>CAMBRIDGE, X0 CB2 0AA |               | X         |         |       |

## Signatures

/s/ Adrian Kemp, Company Secretary of AstraZeneca PLC  
 10/02/2018  
 \*\*Signature of Reporting Person Date

/s/ Yvonne Bertlin, Authorized Signatory of AstraZeneca AB  
 10/02/2018  
 \*\*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) This number includes 302,019 shares of Common Stock received upon the conversion of the Issuer's Series A Preferred Stock as payment of accrued dividends through September 27, 2018. No dividends will accrue after September 27, 2018.
  - (2) Each share of Series A Preferred Stock automatically converted into Common Stock on a 20.728-for-one basis upon the closing of the Issuer's initial public offering. The Series A Preferred Stock had no expiration date.
- All of these securities are owned by AstraZeneca AB, which is a wholly-owned subsidiary of AstraZeneca PLC. AstraZeneca PLC may
- (3) be deemed to beneficially own the shares held by AstraZeneca AB, but disclaims beneficial ownership except to the extent of its pecuniary interest therein, if any. The principal business address of AstraZeneca AB is SE-151 85 Sodertalje, Sweden.

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

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