Zosano Pharma Corp Form 3 January 26, 2015

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

#### **OMB APPROVAL**

**OMB** Number:

3235-0104

Expires:

January 31, 2005

0.5

Estimated average burden hours per

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES** 

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, response... 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 \*

A Strange Alexander Ramsay

(Last)

(First)

(Middle)

Statement

(Month/Day/Year)

01/26/2015

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

Zosano Pharma Corp [ZSAN]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

C/O ZOSANO PHARMA CORPORATION, Â 34970 ARDENTECH COURT

(Street)

10% Owner Director

(Check all applicable)

\_X\_\_ Officer Other (give title below) (specify below) VP, Strategy & Corp. Develop. 6. Individual or Joint/Group Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

FREMONT. CAÂ 94555

(City) (State) (Zip)

1. Title of Security (Instr. 4)

2. Amount of Securities

Beneficially Owned (Instr. 4)

3. Ownership

Table I - Non-Derivative Securities Beneficially Owned

4. Nature of Indirect Beneficial Ownership

(Instr. 5)

Form: Direct (D) or Indirect

(I) (Instr. 5)

Reminder: Report on a separate line for each class of securities beneficially

owned directly or indirectly.

SEC 1473 (7-02)

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

1. Title of Derivative Security (Instr. 4)

2. Date Exercisable and **Expiration Date** 

(Month/Day/Year)

3. Title and Amount of Securities Underlying Derivative Security

5. Conversion or Exercise

Ownership Form of Derivative

6. Nature of Indirect Beneficial Ownership (Instr. 5)

(Instr. 4)

Expiration Exercisable Date

Title Amount or Number of Derivative Security

Price of

Security: Direct (D)

## Edgar Filing: Zosano Pharma Corp - Form 3

				Shares		or Indirect (I) (Instr. 5)	
Employee Stock Option (right to buy)	(1)	07/25/2022	Common Stock	6,528	\$ 1.4	D	Â
Employee Stock Option (right to buy)	(2)	12/11/2022	Common Stock	12,278	\$ 1.4	D	Â
Employee Stock Option (right to buy)	(3)	02/15/2023	Common Stock	6,193	\$ 1.4	D	Â
Employee Stock Option (right to buy)	(4)	07/12/2023	Common Stock	2,500	\$ 1.4	D	Â
Employee Stock Option (right to buy)	(5)	04/15/2024	Common Stock	3,750	\$ 1.28	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships				
	Director	10% Owner	Officer	Other	
Strange Alexander Ramsay C/O ZOSANO PHARMA CORPORATION 34970 ARDENTECH COURT FREMONT, CA 94555	Â	Â	VP, Strategy & Corp. Develop.	Â	

## **Signatures**

/s/ Robert W. Sweet, Jr., Attorney-in-Fact for Alexander R. Strange 01/26/2015

\*\*Signature of Reporting Person Date

## **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 5(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) The option became exercisable as to 1,632 shares on July 25, 2013 and thereafter becomes exercisable for the remaining underlying shares in equal monthly installments over three years.
- (2) The option became exercisable as to 3,069 shares on December 11, 2013 and thereafter becomes exercisable for the remaining underlying shares in equal monthly installments over three years.
- (3) The option became exercisable as to 1,548 shares on February 15, 2014 and thereafter becomes exercisable for the remaining underlying shares in equal monthly installments over three years.
- (4) The option became exercisable as to 625 shares on July 12, 2014 and thereafter becomes exercisable for the remaining underlying shares in equal monthly installments over three years.
- (5) 25% of the total shares shall vest on April 15, 2015 and the remainder of the total shares shall vest in equal monthly installments over the next three years.

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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