

Chapman Marcus  
Form 3  
April 24, 2019

**FORM 3**

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

OMB APPROVAL

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**INITIAL STATEMENT OF 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 \*

Chapman Marcus

(Last) (First) (Middle)

C/O SERES THERAPEUTICS,  
INC., 200 SIDNEY STREET

(Street)

CAMBRIDGE, MA 02139

(City) (State) (Zip)

2. Date of Event Requiring  
Statement

(Month/Day/Year)

04/18/2019

3. Issuer Name and Ticker or Trading Symbol  
Seres Therapeutics, Inc. [MCRB]

4. Relationship of Reporting  
Person(s) to Issuer

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

(Check all applicable)

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

6. Individual or Joint/Group  
Filing(Check Applicable Line)  
\_X\_ Form filed by One Reporting  
Person  
\_\_\_\_ Form filed by More than One  
Reporting Person

**Table I - Non-Derivative Securities Beneficially Owned**

1. Title of Security  
(Instr. 4)

2. Amount of Securities  
Beneficially Owned  
(Instr. 4)

3. Ownership  
Form:  
Direct (D)  
or Indirect  
(I)  
(Instr. 5)

4. Nature of Indirect Beneficial  
Ownership  
(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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information contained in this form are not  
required to respond unless the form displays a  
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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)

Date Expiration  
Exercisable Date

3. Title and Amount of  
Securities Underlying  
Derivative Security  
(Instr. 4)

Title Amount or  
Number of  
Shares

4. Conversion  
or Exercise  
Price of  
Derivative  
Security

5. Ownership  
Form of  
Derivative  
Security:  
Direct (D)  
or Indirect  
(I)

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

(Instr. 5)

Stock Option (Right to Buy)	Â <u>(1)</u>	03/24/2025	Common Stock	25,000	\$ 15.77	D	Â
Stock Option (Right to Buy)	Â <u>(2)</u>	01/31/2026	Common Stock	12,500	\$ 26.2	D	Â
Stock Option (Right to Buy)	Â <u>(3)</u>	01/25/2027	Common Stock	10,000	\$ 9.89	D	Â
Stock Option (Right to Buy)	Â <u>(4)</u>	01/29/2028	Common Stock	18,000	\$ 10.42	D	Â
Restricted Stock Units	Â <u>(5)</u>	Â <u>(6)</u>	Common Stock	12,000	\$ <u>(7)</u>	D	Â
Stock Option (Right to Buy)	Â <u>(8)</u>	01/31/2029	Common Stock	23,000	\$ 6.38	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Chapman Marcus C/O SERES THERAPEUTICS, INC. 200 SIDNEY STREET CAMBRIDGE, MA 02139	Â	Â	Â See Remarks	Â

## Signatures

/s/ Thomas J. DesRosier, Attorney-in-fact for Marcus  
Chapman

04/24/2019

                    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 is fully vested and exercisable.

(2) The option has vested as to 25% of the shares on February 1, 2017. The remainder of the shares will vest or have vested in 12 equal quarterly installments thereafter.

(3) The option has vested as to 25% of the shares on January 26, 2018. The remainder of the shares will vest or have vested in 12 equal quarterly installments thereafter.

(4) The option has vested as to 25% of the shares on January 30, 2019. The remainder of the shares will vest or have vested in 12 equal quarterly installments thereafter.

(5) These restricted stock units will vest in full on November 1, 2019.

(6) Not applicable.

(7) Each restricted stock unit represents a contingent right to receive one share of Issuer common stock.

(8) This option will vest as to 25% of the shares on February 1, 2020. The remainder of the shares will vest in 12 equal quarterly installments thereafter.

^

**Remarks:**

Exhibit^ List:^ Exhibit^ 24^ -^ Power^ of^ Attorney

Principal^ Financial^ and^ Accounting^ Officer

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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