SEC Form 4

## FORM 4

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

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934
or Section 30(h) of the Investment Company Act of 1940

| 1. Name and Address of Reporting Person[*] | 2. Issuer Name **and** Ticker or Trading Symbol | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) |
|---|---|---|
| Emergent BioSolutions Inc. | Aptevo Therapeutics Inc. [ APVO ] | |

| (Last) | (First) | (Middle) |
|---|---|---|
| 400 PROFESSIONAL DR, SUITE 400 | | |

| 3. Date of Earliest Transaction (Month/Day/Year) |
|---|
| 07/29/2016 |

| Director | X | 10% Owner |
|---|---|---|
| Officer (give title below) | | Other (specify below) |

| (Street) |
|---|
| GAITHERSBURG MD 20879 |

| 4. If Amendment, Date of Original Filed (Month/Day/Year) |
|---|
| 08/02/2016 |

6. Individual or Joint/Group Filing (Check Applicable Line)

X  Form filed by One Reporting Person

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 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, par value $0.001 per share | 07/29/2016 | | J[(1)] | | 20,228,849[(3)] | A | $0.00[(1)] | 20,229,849[(3)] | D | |
| Common Stock, par value $0.001 per share | 08/01/2016 | | J[(2)] | | 20,229,849[(3)] | D | $0.00[(2)] | 0 | D | |

### 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 Securities Underlying Derivative Security (Instr. 3 and 4) | | 8. Price of Derivative Security (Instr. 5) | 9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4) | 10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | Code | V | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | | | |

**Explanation of Responses:**

1. On July 29, 2016, Aptevo Therapeutics Inc. ("Aptevo") issued 20,228,849 shares of its common stock to its parent, Emergent Biosolutions Inc ("Emergent"), as partial consideration for Emergent's transfer of its biosciences business to Aptevo.

2. On August 1, 2016, Emergent made a pro rata distribution of 100% of the outstanding shares of Aptevo common stock to Emergent stockholders of record as of July 22, 2016, the record date for the distribution.

3. This Form 4/A is being filed to correct a typographical error on the shares acquired, disposed of, and beneficially owned following the acquisition.

| /s/ Eric Burt, Assistant Secretary | 08/04/2016 |
|---|---|
| ** 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.**