# SEC Form 4

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# FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934

#### OMB APPROVAL OMB Number: 3235-0287 Estimated average burden hours per response: 0.5

|  |  |         | or Section 30(n) of the investment Company Act of 1940   |  |
|--|--|---------|--|--|
| 1. Name and Ad<br><u> Pinion John</u>  | dress of Reporting<br><mark>n Richard</mark> | Person* | 2. Issuer Name <b>and</b> Ticker or Trading Symbol<br><u>Ultragenyx Pharmaceutical Inc.</u> [ RARE ] | 5. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable)<br>Director 10% Owner   |
| (Last) (First) (Middle)<br>C/O ULTRAGENYX PHARMACEUTICAL INC.<br>60 LEVERONI COURT |  | ( )     | 3. Date of Earliest Transaction (Month/Day/Year)<br>06/01/2016                                       | X Officer (give title Other (specify below) below) See Remarks   |
| (Street)<br>NOVATO   | CA   | 94949   | 4. If Amendment, Date of Original Filed (Month/Day/Year)   | 6. Individual or Joint/Group Filing (Check Applicabl<br>Line)<br>X Form filed by One Reporting Person<br>Form filed by More than One Reporting<br>Person |
| (City)   | (State)                                      | (Zip)   |  |  |

#### Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction<br>Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) |      |   | 4. Securities A<br>Disposed Of (<br>5) |               |        | Securities<br>Beneficially         | Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership |
|---------------------------------|--|---|------|---|--|---------------|--------|------------------------------------|---|---|
|                                 |  |   | Code | v | Amount                                 | (A) or<br>(D) | Price  | Transaction(s)<br>(Instr. 3 and 4) |   | (Instr. 4)  |
| Common Stock                    | 06/01/2016                                 |   | Α    |   | 3,000 <sup>(1)</sup>                   | Α             | \$0.00 | 10,500 <sup>(2)</sup>              | D   |   |

### Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4.<br>Transa<br>Code (<br>8) |   | of     |     | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 7. Title and Amount<br>of Securities<br>Underlying<br>Derivative Security<br>(Instr. 3 and 4) |  | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | Owned  | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---|---|--|---|------------------------------|---|--------|-----|--|--------------------|---|--|---|--------|--|--|
|   |   |  |   | Code                         | v | (A)    | (D) | Date<br>Exercisable  | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares |   |        |  |  |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy)    | \$70.57   | 06/01/2016                                 |   | A                            |   | 17,800 |     | (3)  | 06/01/2026         | Common<br>Stock   | 17,800                                 | \$0.00  | 17,800 | D  |  |

Explanation of Responses:

1. Award of Restricted Stock Units ("RSUs") under the Company's 2014 Incentive Plan. The RSUs shall vest with respect to 1/4th of the underlying shares on each anniversary of the grant date, such that the RSUs are fully vested on the fourth anniversary of the grant date.

2. Includes previously reported shares of common stock underlying RSUs granted to the Reporting Person, which are subject to certain vesting conditions.

3. On the first anniversary of the grant date of the option (the "Option Anniversary Date"), 1/4th of the shares initially subject to the option shall vest; thereafter, 1/48th of the shares initially subject to the option shall vest on each month as measured from the Option Anniversary Date.

### **Remarks:**

SVP and Chief Quality Operations Officer

### /s/ Shalini Sharp by power of attorney for John Pinion

\*\* Signature of Reporting Person

06/03/2016

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.