

Neff Thomas B
Form 4
April 05, 2019

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

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 *
Neff Thomas B

(Last) (First) (Middle)

C/O FIBROGEN, INC., 409 ILLINOIS ST.

(Street)

SAN FRANCISCO, CA 94158

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
FIBROGEN INC [FGEN]

3. Date of Earliest Transaction (Month/Day/Year)
04/03/2019

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

Chief Executive Officer

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 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	04/03/2019		M		6,834	A	\$ 2.9
							2,573,308
Common Stock	04/03/2019		S ⁽¹⁾		18,200	D	\$ 54.63
							2,555,108
Common Stock	04/03/2019		S ⁽¹⁾		200	D	\$ 55.24
							2,554,908
Common Stock	04/03/2019		S ⁽¹⁾		1,418	D	\$ 54.6
							71,180
	04/04/2019		M		6,834	A	\$ 2.9
							2,561,742

By Family Partnership

Edgar Filing: Neff Thomas B - Form 4

Common Stock									
Common Stock	04/04/2019	S ⁽¹⁾	13,900	D	\$ 53.17 <u>(5)</u>	2,547,842	D		
Common Stock	04/04/2019	S ⁽¹⁾	2,700	D	\$ 54.24 <u>(6)</u>	2,545,142	D		
Common Stock	04/04/2019	S ⁽¹⁾	1,800	D	\$ 55.14 <u>(7)</u>	2,543,342	D		
Common Stock	04/04/2019	S ⁽¹⁾	1,118	D	\$ 53.12 <u>(8)</u>	70,062	I	By Family Partnership	
Common Stock	04/04/2019	S ⁽¹⁾	200	D	\$ 53.97 <u>(9)</u>	69,862	I	By Family Partnership	
Common Stock	04/04/2019	S ⁽¹⁾	100	D	\$ 55.13	69,762	I	By Family Partnership	
Common Stock						20,000	I	By Spouse	
Common Stock						60,946	I	See footnote <u>(10)</u>	

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

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 control number.

SEC 1474
(9-02)

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)	8. Title and Amount of Derivative Securities (Instr. 3 and 4)
	\$ 2.9	04/03/2019		M	6,834	<u>(11)</u> 06/09/2020		Amount or Number of Shares 6,834

Stock Option (Right to Buy)								Common Stock	
Stock Option (Right to Buy)	\$ 2.9	04/04/2019	M	6,834	<u>(11)</u>	06/09/2020	Common Stock	6,834	

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Neff Thomas B C/O FIBROGEN, INC. 409 ILLINOIS ST. SAN FRANCISCO, CA 94158	X		Chief Executive Officer	

Signatures

/s/ Michael Lowenstein,
Attorney-in-fact

04/05/2019

__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) Shares sold pursuant to a 10b5-1 plan.
- (2) The shares were sold at prices ranging from \$54.20 to \$55.17. The reporting person will provide upon request to the SEC, the issuer or security holder of the issuer, full information regarding the number of shares sold at each separate price.
- (3) The shares were sold at prices ranging from \$55.22 to \$55.26. The reporting person will provide upon request to the SEC, the issuer or security holder of the issuer, full information regarding the number of shares sold at each separate price.
- (4) The shares were sold at prices ranging from \$54.29 to \$55.12. The reporting person will provide upon request to the SEC, the issuer or security holder of the issuer, full information regarding the number of shares sold at each separate price.
- (5) The shares were sold at prices ranging from \$52.79 to \$53.74. The reporting person will provide upon request to the SEC, the issuer or security holder of the issuer, full information regarding the number of shares sold at each separate price.
- (6) The shares were sold at prices ranging from \$53.80 to \$54.78. The reporting person will provide upon request to the SEC, the issuer or security holder of the issuer, full information regarding the number of shares sold at each separate price.
- (7) The shares were sold at prices ranging from \$54.88 to \$55.46. The reporting person will provide upon request to the SEC, the issuer or security holder of the issuer, full information regarding the number of shares sold at each separate price.
- (8) The shares were sold at prices ranging from \$52.77 to \$53.57. The reporting person will provide upon request to the SEC, the issuer or security holder of the issuer, full information regarding the number of shares sold at each separate price.
- (9) The shares were sold at prices ranging from \$53.80 to \$54.17. The reporting person will provide upon request to the SEC, the issuer or security holder of the issuer, full information regarding the number of shares sold at each separate price.
- (10) The shares are held by BioGrowth Partners, LP. The reporting person is the sole general partner of BioGrowth Partners, LP and has sole voting and dispositive power over the shares held by BioGrowth Partners, LP.
- (11) Fully vested.

Edgar Filing: Neff Thomas B - Form 4

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.