

HOFFMAN ROBERT
Form 4/A
January 07, 2019

FORM 4

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

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

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
HOFFMAN ROBERT

(Last) (First) (Middle)

C/O ARAVIVE, INC.
LYONDELLBASSELL
TOWER, 1221 MCKINNEY
STREET, SUITE 3200

(Street)

HOUSTON, TX 77010

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
Aravive, Inc. [ARAV]

3. Date of Earliest Transaction
(Month/Day/Year)
01/03/2019

4. If Amendment, Date Original
Filed(Month/Day/Year)
01/07/2019

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

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

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	(D)	Price

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

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SEC 1474
(9-02)

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

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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)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option	\$ 3.61 ⁽¹⁾	01/03/2019		A		7,500 <u>(2)</u>		01/03/2019 ⁽²⁾	01/02/2029	Common Stock	7,500
Stock Option	\$ 3.61 ⁽¹⁾	01/03/2019		A		4,688 <u>(3)</u>		01/03/2019 ⁽³⁾	01/02/2029	Common Stock	4,688

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
HOFFMAN ROBERT C/O ARAVIVE, INC. LYONDELLBASSELL TOWER 1221 MCKINNEY STREET, SUITE 3200 HOUSTON, TX 77010	X			

Signatures

/s/ Kevin Haas,
Attorney-in-fact

01/07/2019

__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) The reporting person is amending the Form 4 originally filed to report the correct exercise price, which is \$3.61. The exercise price was incorrectly reported in the initial Form 4 due to a typographical error.

(2) These options vest as follows: (i) 625 shares of common stock vest immediately upon grant and (ii) the balance will vest pro rata on a monthly basis over the next 33 months commencing on February 12, 2019.

(3) These options vest as follows: (i) 1,563 shares of common stock vest immediately upon grant and (ii) 625 will vest on a monthly basis over the next five months commencing on February 3, 2019 with full vesting, if not fully vested at such time, on the date of the Aravive Inc.'s next annual meeting of stockholders.

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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