Sorrento Therapeutics, Inc.

Form 4

December 09, 2015

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

30(h) of the Investment Company Act of 1940

OMB

**OMB APPROVAL** 

Number:

3235-0287 January 31,

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if no longer subject to Section 16. Form 4 or Form 5

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**SECURITIES** Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue.

0.5

See Instruction 1(b).

Common

Common

Common

Stock

Stock

Stock

12/07/2015

12/08/2015

(Print or Type Responses)

1. Name and Address of Reporting Person * SOON-SHIONG PATRICK			2. Issuer Name <b>and</b> Ticker or Trading Symbol				>	5. Relationship of Reporting Person(s) to Issuer			
			Sorren	to Theraj	peutics, In	c. [SR	NE]	(Chec	k all applicab	le)	
(Last)	(First)	(Middle)	3. Date	of Earliest	Transaction						
			(Month	Day/Year)				Director		0% Owner	
9922 JEFFERSON BOULEVARD			12/07/2015					Officer (give below)	title Ot below)	her (specify	
(Street)			4. If Amendment, Date Original					6. Individual or Joint/Group Filing(Check			
			Filed(Month/Day/Year)					Applicable Line)			
								Form filed by C	1 0		
CULVER CITY, CA 90232							_X_ Form filed by More than One Reporting Person				
(City)	(State)	(Zip)	Ta	ble I - Non	-Derivative	Securit	ies Acqu	iired, Disposed of	f, or Beneficia	ally Owned	
1.Title of	2. Transaction Date	2A. Deeme	d	3.	4. Securitie	s Acqui	ired (A)	5. Amount of	6.	7. Nature of	
Security	(Month/Day/Year)	Execution I	Date, if	Transactio	oror Dispose	d of (D)		Securities	Ownership	Indirect	
(Instr. 3)		any		Code	(Instr. 3, 4	and 5)		Beneficially	Form:	Beneficial	
		(Month/Day	y/Year)	(Instr. 8)				Owned	Direct (D)	Ownership	
								Following	or Indirect	(Instr. 4)	
						(A)		Reported	(I)		
						or		Transaction(s)	(Instr. 4)		
				Code V	Amount	(D)	Price	(Instr. 3 and 4)			

100,000

14,000

\$

(1)

(1)

7.8909

\$ 8.011

820,174

834,174

7,188,061

D

D

Ι

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

Α

A

Through

Equities, LP (2)

Cambridge

#### Edgar Filing: Sorrento Therapeutics, Inc. - Form 4

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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)

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exercis	sable and	7. Title and A	Amount of
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	TransactionNumber		Expiration Date		Underlying Securities	
Security	or Exercise		any	Code of		(Month/Day/Year)		(Instr. 3 and 4)	
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8) Derivative		e			
	Derivative				Securities				
	Security				Acquired				
	•				(A) or				
					Disposed				
					of (D)				
				(Instr. 3,					
					4, and 5)				
						Date	Expiration	Title	Amount or Number of
				Code V	(A) (D)	Exercisable	Date		Shares

Warrant \$ 5.8 (3) Common Stock 1,724,138

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
Reporting 6 wher Plante / Plantess	Director	10% Owner	Officer	Other		
SOON-SHIONG PATRICK 9922 JEFFERSON BOULEVARD CULVER CITY, CA 90232		X				
MP 13 Ventures, LLC 9922 JEFFERSON BOULEVARD CULVER CITY, CA 90232		X				
Cambridge Equities, LP 9922 JEFFERSON BOULEVARD CULVER CITY, CA 90232		X				

## **Signatures**

/s/ Patrick Soon-Shiong	12/09/2015
**Signature of Reporting Person	Date
/s/ Charles Kenworthy, Manager of MP13 Ventures, on behalf of itself and as General Partner of Cambridge Equities, LP	12/09/2015
**Signature of Reporting Person	Date

Reporting Owners 2

## **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).
- These shares of common stock were acquired on the open market. The price reported in Column 4 is a weighted average sale price. Dr.

  (1) Patrick Soon-Shiong undertakes to provide to Sorrento Therapeutics, Inc. (the "Company"), any securityholder of the Company, or the staff of the Securities and Exchange Commission, upon request, full information regarding the price at which these shares were acquired.
- (2) Dr. Patrick Soon-Shiong is the sole member of MP 13 Ventures, LLC ("MP 13 Ventures"), which is the general partner of Cambridge Equities, LP ("Cambridge Equities").
- (3) The exercise price of the Warrant is subject to customary adjustment provisions for stock splits, stock dividends, recapitalizations and the like

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.