

APPLIED GENETIC TECHNOLOGIES CORP

Form 3

March 26, 2014

**FORM 3**UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

OMB APPROVAL

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**INITIAL STATEMENT OF 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 \*

Â ORONSKY ARNOLD L

(Last) (First) (Middle)

C/O APPLIED GENETIC  
TECHNOLOGIES  
CORP.,Â 11801 RESEARCH  
DRIVE, SUITE D

(Street)

ALACHUA,Â FLÂ 32615

(City) (State) (Zip)

2. Date of Event Requiring  
Statement

(Month/Day/Year)

03/26/2014

3. Issuer Name and Ticker or Trading Symbol

APPLIED GENETIC TECHNOLOGIES CORP [AGTC]

4. Relationship of Reporting  
Person(s) to Issuer5. If Amendment, Date Original  
Filed(Month/Day/Year)

(Check all applicable)

☒ Director ☒ 10% Owner  
☐ Officer ☐ Other  
(give title below) (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 Beneficially Owned**1. Title of Security  
(Instr. 4)2. Amount of Securities  
Beneficially Owned  
(Instr. 4)3. Ownership  
Form:  
Direct (D)  
or Indirect  
(I)  
(Instr. 5)4. Nature of Indirect Beneficial  
Ownership  
(Instr. 5)Reminder: Report on a separate line for each class of securities beneficially  
owned directly or indirectly.

SEC 1473 (7-02)

**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.****Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**1. Title of Derivative Security  
(Instr. 4)2. Date Exercisable and  
Expiration Date  
(Month/Day/Year)3. Title and Amount of  
Securities Underlying  
Derivative Security  
(Instr. 4)4. Conversion  
or Exercise  
Price of  
Derivative5. Ownership  
Form of  
Derivative  
Security:6. Nature of Indirect  
Beneficial  
Ownership  
(Instr. 5)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Series A-1 Convertible Preferred Stock	Â (1)	Â (1)	Common Stock	690,699	\$ (1)	I	See footnotes (2)
Series B-1 Convertible Preferred Stock	Â (3)	Â (3)	Common Stock	183,126	\$ (3)	I	See footnotes (2)
Series B-2 Convertible Preferred Stock	Â (3)	Â (3)	Common Stock	339,825	\$ (3)	I	See footnotes (2)
Series B-3 Convertible Preferred Stock	Â (3)	Â (3)	Common Stock	162,830	\$ (3)	I	See footnotes (2)
Series B-1 Warrant (Right to Buy)	Â (3)(4)	05/02/2017	Series B-1 Convertible Preferred Stock	416,361 (3)	\$ 0.1297	I	See footnotes (2)
Stock Option (Right to Buy)	Â (5)	03/26/2024	Common Stock	9,375	\$ 12	D	Â

## Reporting Owners

### Reporting Owner Name / Address

### Relationships

Director 10% Owner Officer Other

ORONSKY ARNOLD L  
C/O APPLIED GENETIC TECHNOLOGIES CORP.  
11801 RESEARCH DRIVE, SUITE D  
ALACHUA, FL 32615

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## Signatures

/s/ Hemmie Chang, attorney-in-fact for Arnold L. Oronsky

03/26/2014

\*\*Signature of Reporting Person

Date

## Explanation of Responses:

\* If the form is filed by more than one reporting person, see Instruction 5(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) Each share of Series A-1 convertible preferred stock is convertible into shares of common stock at any time at the holder's election or upon consummation of a qualified public offering of the registrant on an approximately 1-for-16.62 basis. The Series A-1 convertible preferred stock has no expiration date.

(2) Held of record by entities affiliated with InterWest Partners. InterWest Management Partners VIII, LLC is the general partner of the entities affiliated with InterWest Partners. The reporting person is a managing director of InterWest Management Partners VIII, LLC ("IMP8"). The reporting person shares voting and investment control over the shares with the other managing directors of IMP8, and disclaims beneficial ownership of all the shares held by the entities affiliated with InterWest Partners and this report shall not be deemed an admission of beneficial ownership of such shares for the purposes of Section 16 or for any other purpose except to the extent of his proportionate pecuniary interest therein.

(3) Each share of Series B-1, B-2 and B3 convertible preferred stock is convertible into shares of common stock at any time at the holder's election or upon the consummation of a qualified public offering of the registrant on a 1-for-35 basis. The Series B-1, B-2 and B-3

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convertible preferred stock has no expiration date.

- (4) The Series B-1 Warrant is exercisable for shares of Series B-1 convertible preferred stock at any time until the expiration of the warrant at the holder's election.
- (5) Option becomes exercisable in equal yearly installments over three years from the date of grant.

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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