SEC Form 4

FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

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Instruction 1(b).		Filed pursuant to Section 16(a) of the Securities Exchange Act of 19	34
		or Section 30(h) of the Investment Company Act of 1940	
1. Name and Address of Rep Ostertag Eric	porting Person [*]	2. Issuer Name and Ticker or Trading Symbol <u>Poseida Therapeutics, Inc.</u> [PSTX]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director X 10% Owner
			Officer (aive title Other (specify
(Last) (First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year)	X below) below)
C/O POSEIDA THERA	PEUTICS, INC.	09/20/2021	Chief Executive Officer
9390 TOWNE CENTR	E DRIVE, STE 200		
		4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)
(Street)			
SAN DIEGO CA	92121		X Form filed by One Reporting Person
	_		Form filed by More than One Reporting Person
(City) (State)	(Zip)		

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)					5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	09/20/2021		S ⁽¹⁾		20,000	D	\$8.001(2)	160,696	Ι	See footnote ⁽³⁾
Common Stock								675,415	D	
Common Stock								3,679,826	Ι	See footnote ⁽⁴⁾
Common Stock								3,377,085	Ι	See footnote ⁽⁵⁾
Common Stock								629,194	Ι	See footnote ⁽⁶⁾
Common Stock								961,445	Ι	See footnote ⁽⁷⁾

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. Transa Code (8)		of		6. Date Exerc Expiration Da (Month/Day/Y	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

Explanation of Responses:

1. The sales reported in this Form 4 were effected by Transposagen Biopharmaceuticals, Inc. ("Transposagen") pursuant to a Rule 10b5-1 trading plan established independently of Dr. Ostertag and in connection with a planned dissolution of Transposagen. Dr. Ostertag reports beneficial ownership of the shares held by Transposagen as a result of his affiliation with that entity.

2. The reported price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$8.00 to \$8.04 per share, inclusive. The Reporting Person undertakes to provide to the Issuer, any security holder of the Issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.

3. The shares are held in the name of Transposagen Biopharmaceuticals, Inc., of which Dr. Ostertag is a majority stockholder.

4. The shares are held in the name of the Eric Ostertag Living Trust dated March 30, 2016, of which the reporting person is the sole trustee.

5. The shares are held in the name of Titan, LLC, which is owned by the Ostertag Descendents' Trust, of which the reporting person's minor daughter is the sole beneficiary. The reporting person disclaims beneficial ownership of these securities, and this report shall not be deemed an admission that the reporting person is the beneficial owner of the securities for purposes of Section 16 or for any other purpose.

6. The shares are held in the name of Twin Prime Investments, an entity wholly owned by the reporting person.

7. The shares are held in the name of the Ostertag Family Trust dated March 30, 2016, of which the reporting person is a trustee.

Remarks:

<u>/s/ Harry J. Leonhardt,</u> <u>Attorney-in-Fact</u>

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.

** Signature of Reporting Person Date

09/22/2021