Avalanche Biotechnologies, Inc.

Form 3 July 30, 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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement Avalanche Biotechnologies, Inc. [AAVL]  **REGENERON** (Month/Day/Year) PHARMACEUTICALS INC 07/30/2014 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 777 OLD SAW MILL RIVER (Check all applicable) ROAD (Street) 6. Individual or Joint/Group \_X\_ 10% Owner Director Officer Other Filing(Check Applicable Line) (give title below) (specify below) \_X\_ Form filed by One Reporting Person TARRYTOWN. NYÂ 10591 Form filed by More than One Reporting Person (City) (State) (Zip) 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)

4. Nature of Indirect Beneficial

Ownership (Instr. 5)

(Instr. 5)

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

SEC 1473 (7-02)

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

| 1. Title of Derivative Security (Instr. 4) | · ·                 |                    | 3. Title and Amount of<br>Securities Underlying<br>Derivative Security<br>(Instr. 4) |                        | 4. Conversion or Exercise Price of | 5.<br>Ownership<br>Form of<br>Derivative | 6. Nature of Indirect<br>Beneficial Ownership<br>(Instr. 5) |  |
|--|---------------------|--------------------|--|------------------------|------------------------------------|--|---|--|
|  | Date<br>Exercisable | Expiration<br>Date | Title  | Amount or<br>Number of | Derivative<br>Security             | Security:<br>Direct (D)                  |   |  |

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|                          |     |     |                 | Shares  |               | or Indirect (I) (Instr. 5) |   |
|--------------------------|-----|-----|-----------------|---------|---------------|----------------------------|---|
| Series A Preferred Stock | (1) | (1) | Common<br>Stock | 689,655 | \$ <u>(1)</u> | D                          | Â |
| Series B Preferred Stock | (2) | (2) | Common<br>Stock | 531,208 | \$ (2)        | D                          | Â |

# **Reporting Owners**

| Reporting Owner Name / Address  | Relationships |           |         |       |  |
|---|---------------|-----------|---------|-------|--|
| . 9   | Director      | 10% Owner | Officer | Other |  |
| REGENERON PHARMACEUTICALS INC<br>777 OLD SAW MILL RIVER ROAD<br>TARRYTOWN, NY 10591 | Â             | ÂX        | Â       | Â     |  |

### **Signatures**

/s/ Joseph J. LaRosa, Senior Vice President, General Counsel and Secretary

07/30/2014

\*\*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) The Series A Preferred Stock is convertible at any time, at the holder's election, on a one-for-one basis and has no expiration date.
- (2) The Series B Preferred Stock is convertible at any time, at the holder's election, on a one-for-one basis and has no expiration date.

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.

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