

Novartis Institutes for BioMedical Research, Inc.

Form 5

February 14, 2019

**FORM 5****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).Form 3 Holdings  
Reported

Form 4

Transactions

Reported

**ANNUAL 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  
Number: 3235-0362Expires: January 31,  
2005Estimated average  
burden hours per  
response... 1.01. Name and Address of Reporting Person \*  
Novartis Institutes for BioMedical  
Research, Inc.

(Last) (First) (Middle)

250 MASSACHUSETTS AVENUE

(Street)

CAMBRIDGE, MA 02139

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading  
Symbol  
Intellia Therapeutics, Inc. [NTLA]3. Statement for Issuer's Fiscal Year Ended  
(Month/Day/Year)  
12/31/20184. If Amendment, Date Original  
Filed(Month/Day/Year)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 Reporting

(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<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired<br>(A) or Disposed of<br>(D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned at end<br>of Issuer's<br>Fiscal Year<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|-----------------------------------------|----------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-----------------------------------------|
| Common<br>Stock                       | 05/16/2018                              | Â                                                           | J <sup>(1)</sup>                        | 25,074 A \$ 0                                                              | 4,302,147                                                                                                    | D <sup>(2)</sup>                                                     | Â                                       |
| Common<br>Stock                       | 06/18/2018                              | Â                                                           | J <sup>(1)</sup>                        | 25,074 A \$ 0                                                              | 4,327,221                                                                                                    | D <sup>(2)</sup>                                                     | Â                                       |
| Common<br>Stock                       | 07/16/2018                              | Â                                                           | J <sup>(1)</sup>                        | 25,074 A \$ 0                                                              | 4,352,295                                                                                                    | D <sup>(2)</sup>                                                     | Â                                       |

Reminder: Report on a separate line for each class of  
securities beneficially owned directly or indirectly.**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.**SEC 2270  
(9-02)

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

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2. Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4. Transaction<br>Code<br>(Instr. 8) | 5. Number<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and<br>Amount of<br>Underlying<br>Securities<br>(Instr. 3 and 4) | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. of<br>D<br>S<br>B<br>O<br>E<br>I<br>F<br>(I |
|-----------------------------------------------------|--------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|---------------------------------------------------------------------------|-----------------------------------------------------|------------------------------------------------|
|                                                     |                                                                    |                                         |                                                             |                                      | (A) (D)                                                                                                            | Date<br>Exercisable                                            | Expiration<br>Date                                                        | Title                                               | Amount<br>or<br>Number<br>of<br>Shares         |

## Reporting Owners

| Reporting Owner Name / Address                                                                       | Relationships |           |         |       |
|------------------------------------------------------------------------------------------------------|---------------|-----------|---------|-------|
|                                                                                                      | Director      | 10% Owner | Officer | Other |
| Novartis Institutes for BioMedical Research, Inc.<br>250 MASSACHUSETTS AVENUE<br>CAMBRIDGE, MA 02139 | Â             | Â X       | Â       | Â     |
| NOVARTIS AG<br>LICHTSTRASSE 35<br>BASEL, V8 CH-4056                                                  | Â             | Â X       | Â       | Â     |

## Signatures

|                                                                                             |            |
|---------------------------------------------------------------------------------------------|------------|
| /s/ Scott A. Brown, VP General Counsel of Novartis Institutes for BioMedical Research, Inc. | 02/14/2019 |
| ____Signature of Reporting Person                                                           | Date       |
| /s/ Christian Rehm, Authorized Signatory on behalf of Novartis AG                           | 02/14/2019 |
| ____Signature of Reporting Person                                                           | Date       |
| /s/ Felix Eichhorn, Authorized Signatory on behalf of Novartis AG                           | 02/14/2019 |
| ____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) Pro rata distribution from Atlas Venture Fund IX, L.P., of which Novartis Institutes for BioMedical Research, Inc. ("NIBRI") is a limited partner.
- (2) The shares are held directly by NIBRI. NIBRI is an indirect wholly-owned subsidiary of Novartis AG.

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.