SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

## INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

		nt ement ear)	3. Issuer Name and Ticker or Trading Symbol <u>Allakos Inc.</u> [ ALLK ]					
(Last) (First) (Middle) GRENZACHERSTRASSE 122			4. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director X 10% Owner		er (Mo	5. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check		
(Street) BASEL V8 4070	-		Officer (give title below)	Other (spe below)	Apr	Applicable Line) Form filed by One Reporting Person X Form filed by More than One Reporting Person		
(City) (State) (Zip)	×							
Table I - Non-Derivative Securities Beneficially Owned								
Title of Security (Instr. 4)			2. Amount of Securities Beneficially Owned (Instr. 4)			I. Nature of Indirect Beneficial Ownership Instr. 5)		
Table II - Derivative Securities Beneficially Owned           (e.g., puts, calls, warrants, options, convertible securities)								
1. Title of Derivative Security (Instr. 4)	2. Date Exer Expiration D (Month/Day/	ate	3. Title and Amount of Securiti Underlying Derivative Security		4. Conversior or Exercise	5. Ownership Form:	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Price of Derivative Security	Direct (D) or Indirect (I) (Instr. 5)		
Series A Preferred Stock	(1)	(1)	Common Stock	4,108,091	(1)	I	See footnote <sup>(2)</sup>	
Series B Preferred Stock	(1)	(1)	Common Stock	502,632	(1)	I	See footnote <sup>(2)</sup>	
1. Name and Address of Reporting Person <sup>*</sup> ROCHE HOLDING LTD								
(Last) (First) (Mic GRENZACHERSTRASSE 122	(Middle)							
(Street) BASEL V8 407	4070							
(City) (State) (Zip	)							
1. Name and Address of Reporting Person <sup>*</sup> ROCHE FINANCE LTD								
(Last) (First) (Middle) GRENZACHERSTRASSE 122								
(Street) BASEL V8 407	4070							
(City) (State) (Zip								

Explanation of Responses:

1. Each share of Series A Preferred Stock and Stock Series B Preferred Stock shall automatically convert into Common Stock on a one-for-one basis immediately prior to the closing of the Issuer's initial public offering of common stock and has no expiration date.

2. The shares are held of record by Roche Finance Ltd ("Roche Finance"). Roche Finance is a wholly owned subsidiary of Roche Holding Ltd, a publicly-held corporation.

**Remarks:** 

/s/ Carole Nuechterlein, authorized signatory /s/ Andreas Knierzinger, authorized signatory

07/18/2018

07/18/2018

\*\* Signature of Reporting Person

Date

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

 $^{\ast}$  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).

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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