SEC Form 4

FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

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

OMB APPROVAL

OMB Number:	3235-0287								
Estimated average burden									
hours per response:	0.5								

obligations may of Instruction 1(b).	continue. See	Filed	pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940			hours per respo	inse:	0.5
1. Name and Addres Lew Jennifer (Last)	ss of Reporting Person	n*(Middle)	2. Issuer Name and Ticker or Trading Symbol <u>Annexon, Inc.</u> [ANNX] 3. Date of Earliest Transaction (Month/Day/Year)		all applicabl Director Officer (giv below)	ve title	10% Owner Other (specif below)	fy
C/O ANNEXON 180 KIMBALL	I, INC. WAY, SUITE 200		09/13/2021		EVP & C	Chief Financia	al Officer	
(Street) SOUTH SAN			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indivi Line) X		t/Group Filing (0		ble
FRANCISCO	CA	94080				by More than C	0	
(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. Transa Code (8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)		5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership	
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	09/13/2021		М		3,500	A	\$7.4885	5,500	D	
Common Stock	09/13/2021		S ⁽¹⁾		3,500	D	\$20.0096(2)	2,000	D	

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 Deri Sec Acq (A) o Disp of (I (Inst	Number of 6. Date Exercisable and Expiration Date berivative becurities (Month/Day/Year) average A) or bisposed of (D) Instr. 3, 4		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				
Stock Option (Right to Buy)	\$7.4885	09/13/2021		М			3,500	(3)	06/20/2029	Common Stock	3,500	\$0.00	143,793	D	

Explanation of Responses:

1. The transactions reported herein were effected pursuant to the Reporting Person's Rule 10b5-1 trading plan.

2. This transaction was executed in multiple trades in prices ranging from \$20.00 to \$20.06, inclusive. The price reported in Column 4 above reflects the weighted average sale price. The Reporting Person hereby undertakes to provide to the Securities and Exchange Commission staff, the Issuer, or a security holder of the Issuer, upon request, full information regarding the number of shares sold at each respective price within the range set forth in this footnote.

3. 25% of the shares subject to the option vest on the first anniversary measured from June 3, 2019 (the "Vesting Commencement Date"), and 1/48th of the total number of shares vest monthly thereafter, such that 100% of the shares subject to the option will be fully vested and exercisable on the fourth anniversary of the Vesting Commencement Date.

<u>/s/ Jennifer Lew</u>

** Signature of Reporting Person

09/15/2021

Date

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.

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