

XOMA Corp
Form 4
April 07, 2015

FORM 4

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

OMB APPROVAL

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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
KURLAND FRED

(Last) (First) (Middle)

C/O XOMA CORPORATION, 2910 SEVENTH STREET

(Street)

BERKELEY, CA 94710

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
XOMA Corp [XOMA]

3. Date of Earliest Transaction (Month/Day/Year)
04/06/2015

4. 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)
CFO & VP Finance

6. Individual or Joint/Group Filing(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 Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| | | | Code | V | Amount (A) or (D) Price | | |
| Common Shares | 04/06/2015 ⁽¹⁾ | | M | | 4,656 A \$ 0 ⁽²⁾ | D | |
| Common Shares | 04/06/2015 ⁽¹⁾ | | M | | 21,750 A \$ 0 ⁽²⁾ | D | |
| Common Shares | 04/06/2015 ⁽³⁾ | | D | | 9,759 D 3.6074 ⁽⁴⁾ | D | |
| Common Shares | 04/06/2015 ⁽³⁾ | | D | | 1,707 D 3.6074 ⁽⁴⁾ | D | |
| | 04/06/2015 ⁽³⁾ | | D | | 1,707 D | D | |

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| | | | | | | | | | |
|---------------|---------------------------|--|---|-------|----------------------------|----------------------------|--------|---|-----------|
| Common Shares | | | | | \$ 3,6074 <u>(4)</u> | | | | |
| Common Shares | 04/06/2015 ⁽³⁾ | | D | 1,707 | D | \$ 3,6074 <u>(4)</u> | 92,324 | D | |
| Common Shares | 04/06/2015 ⁽³⁾ | | D | 7,414 | D | \$ 3,6074 <u>(4)</u> | 84,910 | D | |
| Common Shares | 04/06/2015 ⁽³⁾ | | D | 7,414 | D | \$ 3,6074 <u>(4)</u> | 77,496 | D | |
| Common Shares | 04/06/2015 ⁽³⁾ | | D | 5,567 | D | \$ 3,6074 <u>(4)</u> | 71,929 | D | |
| Common Shares | 04/06/2015 ⁽¹⁾ | | M | 3,532 | A | \$ 0 ⁽²⁾ | 75,461 | D | |
| Common Shares | | | | | | | 22,137 | I | by 401(k) |
| Common Shares | | | | | | | 5,254 | I | by Trust |

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.

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(9-02)

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. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Security (Instr. 3 and 4) | | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|---------------|----------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Restricted Stock Units | \$ 0 ⁽²⁾ | 04/06/2015 | | M | 4,656 | ⁽¹⁾ | 08/14/2015 | Common Shares | 4,656 |
| | \$ 0 ⁽²⁾ | 04/06/2015 | | M | 21,750 | ⁽¹⁾ | 03/18/2016 | | 21,750 |

Restricted
Stock
Units

Common
Shares

Restricted
Stock
Units

\$ 0 ⁽²⁾

04/06/2015

M

3,532

11/13/2012⁽¹⁾

⁽⁵⁾

Common
Shares

3,532

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|------------------|-------|
| | Director | 10% Owner | Officer | Other |
| KURLAND FRED C/O XOMA CORPORATION 2910 SEVENTH STREET BERKELEY, CA 94710 | | | CFO & VP Finance | |

Signatures

By: Russell J. Wood For: Fred

Kurland

04/07/2015

__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) Pursuant to the award agreement, this award becomes fully vested in connection with Mr. Kurland's retirement on April 3, 2015.
- (2) Each restricted stock unit represents the right to receive, at settlement, one share of common stock. This nondiscretionary transaction represents the settlement of vested restricted stock units in shares of common stock.
- (3) Shares sold on the open market to satisfy the minimum amount of taxes required to be withheld in connection with the vesting of the shares in a non-discretionary transaction pursuant to the reporting person's agreement under the Company's equity incentive plan.
This transaction was executed in multiple trades ranging at prices from \$3.50 to \$3.66. The price reported reflects the weighted average sale price. The reporting person hereby undertakes to provide upon request to the SEC staff, the Issuer or a security holder of the Issuer full information regarding the number of shares and prices at which the transactions were effected.
- (5) These restricted stock units are scheduled to vest in substantially equal installments annually over three years, with the first installment vesting on November 13, 2012.

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.