SEC Form 4
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FORM 4

obligations may continue. See Instruction 1(b).

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

3235-0287								
Estimated average burden								
0.5								

Check this box if no longer subject to	STATEMENT OF CHANGES IN BENEFICIAL	OWNERSHIP
Section 16. Form 4 or Form 5		

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

			or Section So(n) of the investment Company Act of 1940	
1. Name and Address of Reporting Person* Paul Robert		Person*	2. Issuer Name <b>and</b> Ticker or Trading Symbol Alector, Inc. [ ALEC ]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner X Officer (give title Other (specify
(Last) C/O ALECTOR 131 OYSTER P	1	(Middle) , SUITE 600	3. Date of Earliest Transaction (Month/Day/Year) 08/09/2021	below)     below)     Chief Medical Officer
(Street) SOUTH SAN FRANCISCO	CA (State)	94080 (Zip)	4. If Amendment, Date of Original Filed (Month/Day/Year)	<ul> <li>6. Individual or Joint/Group Filing (Check Applicable Line)</li> <li>X Form filed by One Reporting Person</li> <li>Form filed by More than One Reporting Person</li> </ul>

## 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)			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 (Instr. 4)	
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150.4)	
Common Stock	08/09/2021		М		9,691	Α	\$8.16	244,010	D		
Common Stock	08/09/2021		М		8,734	A	\$10.14	252,744	D		
Common Stock	08/09/2021		М		4,525	A	\$17.15	257,269	D		
Common Stock	08/09/2021		<b>S</b> <sup>(1)</sup>		22,650	D	\$27.1713(2)	234,619	D		
Common Stock	08/09/2021		S <sup>(1)</sup>		300	D	\$27.79 <sup>(3)</sup>	234,319	D		

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

	(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)		n of		Expiration Date (Month/Day/Year) s		ate Amount o		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				
Employee Stock Option (right to buy)	\$8.16	08/09/2021		М			9,691	(4)	07/02/2028	Common Stock	9,691	\$0.00	81,000	D	
Employee Stock Option (right to buy)	\$10.14	08/09/2021		М			8,734	(5)	11/06/2028	Common Stock	8,734	\$0.00	31,250	D	
Employee Stock Option (right to buy)	\$17.15	08/09/2021		М			4,525	(6)	11/06/2029	Common Stock	4,525	\$0.00	84,450	D	

#### Explanation of Responses:

1. The sales reported by the reporting person were effected pursuant to a Rule 10b5-1 trading plan adopted on May 28, 2020.

2. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$26.71 to \$27.67, inclusive. The reporting person undertakes to provide to the Issuer, any security holder of the Issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in footnotes (2) and (3) to this Form 4.

3. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$27.71 to \$27.83, inclusive.

4. Shares subject to the option vest in 48 equal monthly installments beginning on August 2, 2018.

5. One-fourth of the total number of shares subject to the option grant vested on November 1, 2019, and an additional 1/48th of the shares subject vest monthly thereafter.

6. Shares subject to the option vest in 48 equal monthly installments beginning on December 6, 2019.

### **Remarks:**

/s/ David Oh, attorney-in-fact 08/11/2021

\*\* Signature of Reporting Person 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.

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 Number.