SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

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

OMB APPROVAL

I	OMB Number:	3235-0287
	Estimated average burd	len
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			or Section 30(n) of the investment Company Act of 1940	
1. Name and Address of Reporting Person* Paul Robert			2. Issuer Name and Ticker or Trading Symbol <u>Alector, Inc.</u> [ALEC]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner
(Last) C/O ALECTO 131 OYSTER	(First) (Middle) OR, INC. R POINT BLVD, SUITE 600		3. Date of Earliest Transaction (Month/Day/Year) 05/18/2021	X Once (give true of the (specify below) below) Chief Medical Officer
(Street) SOUTH SAN FRANCISCO (City)	CA (State)	94080 (Zip)	4. If Amendment, Date of Original Filed (Month/Day/Year)	 6. Individual or Joint/Group Filing (Check Applicable Line) X 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. Transa Code (8)		4. Securities Disposed Of			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	05/18/2021		М		2,900	A	\$8.16	276,619	D				
Common Stock	05/18/2021		М		1,300	Α	\$10.14	277,919	D				
Common Stock	05/18/2021		S ⁽¹⁾		4,200	D	\$18.0443(2)	273,719	D				

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

	(0.3., pare, care, containe, options, contained coordinate)														
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) Disp of (I (Ins	f Expiration Da		Expiration Date (Month/Day/Year)		d 7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	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	05/18/2021		М			2,900	(3)	07/02/2028	Common Stock	2,900	\$0.00	136,566	D	
Employee Stock Option (right to buy)	\$10.14	05/18/2021		М			1,300	(4)	11/06/2028	Common Stock	1,300	\$0.00	54,951	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 \$18.00 to \$18.09, 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.

3. One forty-eighth (1/48th) of the shares subject to the option vested on August 2, 2018, and one forty-eighth (1/48th) of the shares subject to the option vest monthly thereafter.

4. One-fourth (1/4th) of the shares subject to the option vested on November 1, 2019 and one forty-eighth (1/48th) of the shares vest monthly thereafter.

Remarks:

/s/ David Oh, attorney-in-fact 05/20/2021 Date

** Signature of Reporting Person

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.