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

1. Name and Address of Reporting Person* 2. Date of Event Requiring Statement (Month/Day/Year) 01/06/2020 01/06/2020		nent 📘	3. Issuer Name and Ticker or Trading Symbol <u>bluebird bio, Inc.</u> [BLUE]					
(Last) (First) (Middle) C/O BLUEBIRD BIO, INC.			4. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner		er (5. If Amendment, Date of Original Filed (Month/Day/Year)		
60 BINNEY STREET			X Officer (give title below)	Other (spe below)	· 10	 Individual or Joint Applicable Line) 	/Group Filing (Check	
(Street)			Chief Business C	Officer			y One Reporting Person	
CAMBRIDGE MA 02142						Form filed by Reporting P	y More than One erson	
(City) (State) (Zip)								
Table I - Non-Derivative Securities Beneficially Owned								
1. Title of Security (Instr. 4)			. Amount of Securities eneficially Owned (Instr. 4)			4. Nature of Indirect Beneficial Ownership (Instr. 5)		
Common Stock			3,750 ⁽¹⁾	D				
Common Stock			1,650 ⁽²⁾	D				
Common Stock			2,375 ⁽³⁾	D				
Common Stock			3,000 ⁽⁴⁾	D				
Common Stock			1,609	D				
Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)								
1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securit Underlying Derivative Securit	ty (Instr. 4) Conv or Ex		ise Form:	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Price of Derivativ Security	Pre Direct (D) or Indirect (I) (Instr. 5)		
Stock Options (Right to buy)	(5)	04/03/2027	Common Stock	15,625	88.55	j D		
Stock Options (Right to buy)	(6)	02/01/2028	Common Stock	8,800	205.25	5 D		
Stock Options (Right to buy)	(7)	02/01/2029	Common Stock	9,500	134.63	3 D		
Stock Options (Right to buy)	(8)	05/01/2029	Common Stock	12,000	139.62	2 D		

Explanation of Responses:

1. Restricted stock units for common stock vest over a four-year period at a rate of 25% on April 3, 2018, 25% on April 3, 2019, 25% on April 3, 2020, and 25% on April 3, 2021.

2. Restricted stock units for common stock vest over a four-year period at a rate of 25% on January 4, 2019, 25% on January 4, 2020, 25% on January 4, 2021, and 25% on January 4, 2022.

3. Restricted stock units for common stock vest over a four-year period at a rate of 25% on January 4, 2020, 25% on January 4, 2021, 25% on January 4, 2022, and 25% on January 4, 2023.

4. Restricted stock units for common stock vest over a four-year period at a rate of 25% on May 1, 2020, 25% on May 1, 2021, 25% on May 1, 2022, and 25% on May 1, 2023.

5. This option vests over a four-year period, at a rate of twenty-five percent (25%) on April 3, 2018, and in 36 equal monthly installments.

6. This option vests over a four-year period, at a rate of twenty-five percent (25%) on January 4, 2019, and in 36 equal monthly installments.

7. This option vests over a four-year period, at a rate of twenty-five percent (25%) on January 4, 2020, and in 36 equal monthly installments.

8. This option vests over a four-year period, at a rate of twenty-five percent (25%) on May 1, 2020, and in 36 equal monthly installments.

Remarks:

/s/ Helen C. Fu, Attorney-in-

Fact

01/08/2020

** 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 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.

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.

LIMITED POWER OF ATTORNEY

The undersigned hereby constitutes and appoints each of Jason F. Cole, Kory Wentworth, and Helen Fu, and each of them individually, and with full power of substitution, the undersigned's true and lawful attorney-in-fact to:

(1) Complete and execute for and on behalf of the undersigned, in the undersigned's capacity as an officer, director and/or ten percent (10%) shareholder of bluebird bio, Inc., a Delaware corporation (the "Company") any and all instruments, certificates and documents required to be executed on behalf of the undersigned as an individual or on behalf of the undersigned's company or partnership, as the case may be, pursuant to Section 13 and Section 16 of the Securities Exchange Act of 1934, as amended (the "Exchange Act") or the rules and regulations thereunder;

(2) Do and perform any and all acts for and on behalf of the undersigned which may be necessary or desirable to complete and execute any such instruments, certificates or documents required to be filed pursuant to Sections 13 and 16 of the Exchange Act or the rules or regulations thereunder and timely file such forms with the United States Securities and Exchange Commission and any stock exchange or similar authority; and

(3) Take any other action of any type whatsoever in connection with the foregoing which, in the opinion of such attorney-in-fact, may be of benefit to, in the best interest of, or legally required by, the undersigned, it being understood that the documents executed by any such attorney-in-fact on behalf of the undersigned pursuant to this Power of Attorney shall be in such form and shall contain such terms and conditions as such attorney-in-fact may approve in such attorney-in-fact's discretion.

The undersigned hereby grants to each such attorney-in-fact, acting singly, full power and authority to do and perform any and every act which is necessary, proper or desirable to be done in the exercise of any of the rights and powers herein granted, as fully to all intents and purposes as the undersigned might or could do if personally present, with full power of substitution or revocation, hereby ratifying and confirming all that any such attorney-in-fact, or any such attorney-in-fact's substitute or substitutes, shall lawfully do or cause to be done by virtue of this Power of Attorney and the rights and powers herein granted.

The undersigned acknowledges that each of the foregoing attorneys-in-fact, in serving in such capacity at the request of the undersigned, are not assuming, nor is the Company assuming, any of the undersigned's responsibilities to comply with Section 13 or Section 16 of the Exchange Act or the rules or regulations thereunder. The undersigned hereby agrees to indemnify each attorney-in-fact and the Company from and against any demand, damage, loss, cost or expense arising from any false or misleading information provided by the undersigned to such attorney-in fact.

This Power of Attorney shall remain in full force and effect until the undersigned is no longer required to file any instruments, certificates and documents pursuant to Section 13 and 16 of the Exchange Act or the rules or regulations thereunder with respect to the undersigned's holdings of and transactions in securities issued by the Company, unless earlier revoked by the undersigned in a signed writing delivered to the foregoing attorneys-in-fact.

IN WITNESS WHEREOF, the undersigned has caused this Power of Attorney to be executed as of January 6, 2020.

/s/ Joanne Smith-Farrell
Joanne Smith-Farrell