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 [*] Brown Victoria L.	Requiring (Month/Da	2. Date of Event Requiring Statement (Month/Day/Year) 04/02/2020 3. Issuer Name and Ticker or Trading Symbol <u>Apellis Pharmaceuticals, Inc.</u> [APLS]							
(Last) (First) (Middle) C/O APELLIS			4. Relationship of Reporting Issuer (Check all applicable)	10% Owner Other (specify below)			5. 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		
PHARMACEUTICALS, INC. 100 FIFTH AVENUE, 3RD FLOOR	_		Director X Officer (give title below) Program Tean			(Ch			
(Street) WALTHAM MA 02451	_					Form filed by More than One Reporting Person			
(City) (State) (Zip)									
Table I - Non-Derivative Securities Beneficially Owned									
1. Title of Security (Instr. 4)			2. Amount of Securities Beneficially Owned (Instr. 4)	3. Owne Form: D (D) or Ir (I) (Instr	Direct Owne ndirect		ature of Indirect Beneficial ership (Instr. 5)		
Common Stock			3,125 ⁽¹⁾		С				
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 Se Underlying Derivative Sec (Instr. 4)	urity Conver		cise	5. Ownership Form:	6. Nature of Indirect Beneficial Ownership (Instr.	
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Price of Derivative Security		Direct (D) or Indirect (I) (Instr. 5)	5)	
Stock Option (Right to Buy)	(2)	03/06/2029	Common Stock	70,000	18.98		D		
Stock Option (Right to Buy)	(3)	02/09/2030	Common Stock	12,075	44.3	33	D		
Stock Option (Right to Buy)	(4)	03/24/2030	Common Stock	6,675	28.3	37	D		

Explanation of Responses:

1. Consist of shares of Common Stock issuable under 2,013 restricted stock units ("RSUs") granted on February 10, 2020 and 1,112 RSUs granted on March 25, 2020. Each RSU was granted pursuant to the Company's 2017 Stock Incentive Plan and represents the right to receive one share of Common Stock upon vesting. The RSUs will vest as to 25% of the shares underlying the RSUs on the first anniversary of the date of grant, and 25% of the shares underlying the RSUs on each anniversary of grant date thereafter through the fourth anniversary of the grant.

2. This option was granted on March 7, 2019 and will vest as to 25% of the shares underlying the options on the first anniversary of the grant, with the remaining 75% of the shares underlying the options vesting in equal monthly installments thereafter through the fourth anniversary of the grant, subject to continued service.

3. This option was granted on February 10, 2020 and will vest as to 25% of the shares underlying the options on the first anniversary of the grant, with the remaining 75% of the shares underlying the options vesting in equal monthly installments thereafter through the fourth anniversary of the grant, subject to continued service.

4. This option was granted on March 25, 2020 and will vest as to 25% of the shares underlying the options on the first anniversary of the grant, with the remaining 75% of the shares underlying the options vesting in equal monthly installments thereafter through the fourth anniversary of the grant, subject to continued service.

/s/ David Watson,			
attorney-in-fact for			
Victoria Brown			
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04/27/2020

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 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.