## SEC Form 4

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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FORM 4

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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. Issuer Name <b>and</b> Ticker or Trading Symbol Kodiak Sciences Inc. [KOD]		5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
EHRLICH J.	EHRLICH JASON (Last) (First) (Middle) 1200 PAGE MILL ROAD		<u>Rodiak Sciences Inc.</u> [Rob ]		Director	10% Owner			
l` í			3. Date of Earliest Transaction (Month/Day/Year) 06/11/2021		Officer (give title below) See Rema	Other (specify below) arks			
(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line)	6. Individual or Joint/Group Filing (Check Applicable Line)				
PALO ALTO	CA	94304		X	Form filed by One Rep	oorting Person			
(City)	(State)	(Zip)	—		Form filed by More that Person	n One Reporting			
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)					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	06/11/2021		М		2,900	Α	(1)	<b>66,115</b> <sup>(2)</sup>	D	
Common Stock	06/15/2021		<b>S</b> <sup>(3)</sup>		1,147	D	\$84.75	64,968	D	

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. Transa Code ( 8)		5. Numb Derivati Securiti Acquire or Dispo of (D) (In 4 and 5)	ve es d (A) osed nstr. 3,	6. Date Exerc Expiration Da (Month/Day/Y	ate	of Securities D Underlying S		8. Price of Derivative Security (Instr. 5)		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		Transaction(s) (Instr. 4)		
Stock Option (Right to Buy)	\$73.51	06/11/2021		A		18,450		(4)	12/29/2029	Common Stock	18,450	\$0.00	18,450	D	
Restricted Stock Units	(1)	06/11/2021		A		11,600		(4)	(4)	Common Stock	11,600	\$0.00	11,600	D	
Restricted Stock Units	(1)	06/11/2021		М			2,900	(4)	(4)	Common Stock	2,900	\$0.00	8,700	D	

Explanation of Responses:

1. Each restricted stock unit ("RSU") represents a contingent right to receive one (1) share of the Issuer's common stock.

2. Includes 54 shares acquired under the 2018 Employee Stock Purchase Plan on May 31, 2021.

3. The sale was made to cover tax withholding obligations in connection with vesting and settlement of 1/4th of the Reporting Person's performance-based RSU granted on December 30, 2019.

4. On December 30, 2019 the Reporting Person was awarded a performance-based award. 1/4th of the award vested on June 11, 2021 upon the achievement of certain performance criteria ("Performance Achievement Date"); thereafter, the award will vest in three equal annual installments on each of the first, second, and third anniversaries of the Performance Achievement Date, subject, in each case, to the

Achievement Date"); thereafter, the award will vest in three equal annual installments on each of the first, second, and third anniversaries of the Performance Achievement Date, subject, in each case, to the Reporting Person's status as a Service Provider (as defined in the 2018 Equity Incentive Plan) on each vesting date.

## **Remarks:**

Chief Medical Officer and Chief Development Officer

/s/ David Peinsipp, Attorney-in-
Fact for Jason Ehrlich



\*\* 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.

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