#### Edgar Filing: Atara Biotherapeutics, Inc. - Form SC 13G

Atara Biotherapeutics, Inc. Form SC 13G February 17, 2015

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, DC 20549

SCHEDULE 13G

**Under the Securities Exchange Act of 1934** 

(Amendment No.)\*

Atara Biotherapeutics, Inc. (the "Issuer")

(Name of Issuer)

Common Stock, \$0.0001 par value per share (the "Shares")

(Title of Class of Securities)

046513107

(CUSIP Number)

**December 31, 2014** 

(Date of Event Which Requires Filing of this Statement)

Check the appropriate box to designate the rule pursuant to which this Schedule is filed:

Rule 13d-1(b)

Rule 13d-1(c)

Rule 13d-1(d)

The information required in the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange Act of 1934 ("Act") or otherwise subject to the liabilities of that section of the Act but shall be subject to all other provisions of the Act (however, see the Notes).

<sup>\*</sup>The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter the disclosures provided in a prior cover page.

# **CUSIP No. 046513107** Page 2 of 14 Pages

	NAMES OF REPORTING PERSONS			
1	I.R.S. IDENTIFICATION NO. OF			
	ABOVE PERSON (ENTITIES ONLY)			
Carlos Slim Helú				
2	CHECK THE APPROPRIATE BOX IF A			
2	MEMBER OF A GROUP* (a) o (b) o			
3	SEC USE ONLY			
4	CITIZENSHIP OR PLACE OF			
4	ORGANIZATION			
	México			
	5 SOLE VOTING POWER			
NUMBER O	F <sup>3</sup> -0-			
SHARES	CHARED VOTING DOWER			
RENEFICIALLY 6 SHARED VOTING POWER				
OWNED BY	1,335,202 Shares			
EACH	7 SOLE DISPOSITIVE POWER			
REPORTING	G - 0 -			
PERSON WI	TH 8 SHARED DISPOSITIVE POWER 1,335,202 Shares (See Item 4(c))			
PERSON WI	<sup>1</sup> H <sup>8</sup> 1,335,202 Shares (See Item 4(c))			
	AGGREGATE AMOUNT			
9	BENEFICIALLY OWNED BY EACH			
9	REPORTING PERSON			
	1,335,202 Shares (See Item 4(c))			
	CHECK BOX IF THE AGGREGATE			
10	AMOUNT IN ROW (9) EXCLUDES			
	CERTAIN SHARES*			
	PERCENT OF CLASS REPRESENTED			
11	BY AMOUNT IN ROW 9			
	6.6% (See Item 4(b))			
12	TYPE OF REPORTING PERSON*			
12	IN			

<sup>\*</sup>SEE INSTRUCTIONS BEFORE FILLING OUT!

# **CUSIP No. 046513107** Page 3 of 14 Pages

	NAMES OF REPORTING PERSONS		
1	I.R.S. IDENTIFICATION NO. OF		
	ABOVE PERSON (ENTITIES ONLY)		
	Carlos Slim Domit		
	CHECK THE APPROPRIATE BOX IF		
2	A MEMBER OF A		
	GROUP* (a) o (b) o		
3	SEC USE ONLY		
4	CITIZENSHIP OR PLACE OF		
4	ORGANIZATION		
	México		
	SOLE VOTING POWER  5 - 0 -		
NUMBER O	F <sup>3</sup> -0-		
SHARES	CHARED VOTING DOWER		
BENEFICIA	LLY 6 SHARED VOTING POWER 1,335,202 Shares (See Item 4(c))		
OWNED BY	1,555,202 bildies (bee item 4(c))		
EACH	7 SOLE DISPOSITIVE POWER - 0 -		
REPORTING	G '- 0 -		
PERSON WI			
PERSON WI	TH 8 SHARED DISPOSITIVE POWER 1,335,202 Shares (See Item 4(c))		
	AGGREGATE AMOUNT		
9	BENEFICIALLY OWNED BY EACH		
	REPORTING PERSON		
	1,335,202 Shares (See Item 4(c))		
	CHECK BOX IF THE AGGREGATE		
10	AMOUNT IN ROW (9) EXCLUDES		
	CERTAIN SHARES*		
	PERCENT OF CLASS REPRESENTED		
11	BY AMOUNT IN ROW 9		
	6.6% (See Item 4(b))		
12	TYPE OF REPORTING PERSON*		
12	IN		

<sup>\*</sup>SEE INSTRUCTIONS BEFORE FILLING OUT!

# **CUSIP No. 046513107** Page 4 of 14 Pages

	NAMES OF REPORTING PERSONS		
1	I.R.S. IDENTIFICATION NO. OF		
	ABOVE PERSON (ENTITIES ONLY)		
	Marco Antonio Slim Domit		
	CHECK THE APPROPRIATE BOX IF		
2	A MEMBER OF A		
	GROUP* (a) o (b) o		
3	SEC USE ONLY		
4	CITIZENSHIP OR PLACE OF		
4	ORGANIZATION		
	México		
	SOLE VOTING POWER 5 - 0 -		
NUMBER O	F 3-0-		
SHARES	SHADED VOTING DOWED		
BENEFICIAL	LLY 6 SHARED VOTING POWER 1,335,202 Shares (See Item 4(c))		
OWNED BY	1,555,202 bildies (bee itelii 4(c))		
EACH	7 SOLE DISPOSITIVE POWER		
REPORTING			
PERSON WI	TH 8 SHARED DISPOSITIVE POWER 1,335,202 Shares (See Item 4(c))		
TERSON WI			
	AGGREGATE AMOUNT		
9	BENEFICIALLY OWNED BY EACH		
	REPORTING PERSON		
	1,335,202 Shares (See Item 4(c))		
	CHECK BOX IF THE AGGREGATE		
10	AMOUNT IN ROW (9) EXCLUDES		
	CERTAIN SHARES*		
	PERCENT OF CLASS REPRESENTED		
11	BY AMOUNT IN ROW 9		
	6.6% (See Item 4(b))		
12	TYPE OF REPORTING PERSON*		
	IN		

<sup>\*</sup>SEE INSTRUCTIONS BEFORE FILLING OUT!

# **CUSIP No. 046513107** Page 5 of 14 Pages

1	I.R. AB Pat	MES OF REPORTING PERSONS S. IDENTIFICATION NO. OF OVE PERSON (ENTITIES ONLY) rick Slim Domit ECK THE APPROPRIATE BOX IF		
2	_	TEMBER OF A		
2		OUP* (a) o (b) o		
3	SEC USE ONLY			
	CITIZENSHIP OR PLACE OF			
4		GANIZATION		
	Mé	xico		
		5 SOLE VOTING POWER		
NUMBER O	F	<sup>3</sup> -0-		
SHARES		SHADED VOTING DOWED		
BENEFICIA	LLY	6SHARED VOTING POWER 1,335,202 Shares (See Item 4(c))		
OWNED BY		1,555,202 Shares (See Item 4(C))		
EACH		7 SOLE DISPOSITIVE POWER - 0 -		
REPORTING	j			
PERSON WI	TH	8 SHARED DISPOSITIVE POWER 1,335,202 Shares (See Item 4(c))		
	AG	GREGATE AMOUNT		
9	BE	NEFICIALLY OWNED BY EACH		
	REPORTING PERSON			
		35,202 Shares (See Item 4(c))		
	CHECK BOX IF THE AGGREGATE			
10	AMOUNT IN ROW (9) EXCLUDES			
	CERTAIN SHARES*			
		RCENT OF CLASS REPRESENTED		
11		AMOUNT IN ROW 9		
		% (See Item 4(b))		
12		PE OF REPORTING PERSON*		
	IN			

<sup>\*</sup>SEE INSTRUCTIONS BEFORE FILLING OUT!

# **CUSIP No. 046513107** Page 6 of 14 Pages

		MES OF REPORTING PERSONS	
1	I.R.	S. IDENTIFICATION NO. OF	
	AB	OVE PERSON (ENTITIES ONLY)	
	Ma	ría Soumaya Slim Domit	
	CH	ECK THE APPROPRIATE BOX IF	
2	A MEMBER OF A		
		OUP* (a) o (b) o	
3	SEC USE ONLY		
	CITIZENSHIP OR PLACE OF		
4	OR	GANIZATION	
	Mé	xico	
		5 SOLE VOTING POWER	
NUMBER O	F	<sup>3</sup> -0-	
SHARES		CHARED VOTING DOWER	
BENEFICIA	LLY	6 SHARED VOTING POWER 1,335,202 Shares (See Item 4(c))	
OWNED BY		1,555,202 Snares (See Hem 4(C))	
EACH		7 SOLE DISPOSITIVE POWER	
REPORTING	j	' - <b>0</b> -	
PERSON WI	тц	8 SHARED DISPOSITIVE POWER 1,335,202 Shares (See Item 4(c))	
rekson wi	ΙП	<sup>o</sup> 1,335,202 Shares (See Item 4(c))	
	AG	GREGATE AMOUNT	
9	BE	NEFICIALLY OWNED BY EACH	
	REPORTING PERSON		
	1,33	35,202 Shares (See Item 4(c))	
	CH	ECK BOX IF THE AGGREGATE	
10	AMOUNT IN ROW (9) EXCLUDES		
	CERTAIN SHARES*		
	PEI	RCENT OF CLASS REPRESENTED	
11	BY	AMOUNT IN ROW 9	
	6.6	% (See Item 4(b))	
12	TY	PE OF REPORTING PERSON*	
12	IN		

<sup>\*</sup>SEE INSTRUCTIONS BEFORE FILLING OUT!

# **CUSIP No. 046513107** Page 7 of 14 Pages

		MES OF REPORTING PERSONS	
1	I.R.	S. IDENTIFICATION NO. OF	
	AB	OVE PERSON (ENTITIES ONLY)	
	Vanessa Paola Slim Domit		
	CH	ECK THE APPROPRIATE BOX IF	
2	A MEMBER OF A		
GR		OUP* (a) o (b) o	
3	SEC USE ONLY		
4	CITIZENSHIP OR PLACE OF		
4 OR		GANIZATION	
	Mé	xico	
		5 SOLE VOTING POWER	
NUMBER O	F	<sup>3</sup> -0-	
SHARES		CHARED VOTING DOWER	
BENEFICIA	LLY	6 SHARED VOTING POWER 1,335,202 Shares (See Item 4(c))	
OWNED BY		1,555,202 Snares (See Hem 4(C))	
EACH		7 SOLE DISPOSITIVE POWER	
REPORTING	j	´ - <b>0</b> -	
PERSON WI	тц	8 SHARED DISPOSITIVE POWER 1,335,202 Shares (See Item 4(c))	
rekson wi	ΙП	<sup>o</sup> 1,335,202 Shares (See Item 4(c))	
	AG	GREGATE AMOUNT	
9	BEI	NEFICIALLY OWNED BY EACH	
	REPORTING PERSON		
	1,33	35,202 Shares (See Item 4(c))	
	CH	ECK BOX IF THE AGGREGATE	
10	AMOUNT IN ROW (9) EXCLUDES		
	CERTAIN SHARES*		
	PEI	RCENT OF CLASS REPRESENTED	
11	BY AMOUNT IN ROW 9		
	6.6	% (See Item 4(b))	
12	TY	PE OF REPORTING PERSON*	
14	IN		

<sup>\*</sup>SEE INSTRUCTIONS BEFORE FILLING OUT!

# **CUSIP No. 046513107** Page 8 of 14 Pages

	NA	MES OF REPORTING PERSONS		
1	I.R.S. IDENTIFICATION NO. OF			
	AB	OVE PERSON (ENTITIES ONLY)		
	Joh	anna Monique Slim Domit		
	CH	ECK THE APPROPRIATE BOX IF		
2	A MEMBER OF A			
		OUP* (a) o (b) o		
3	SEC USE ONLY			
4	CIT	TIZENSHIP OR PLACE OF		
4	OR	ORGANIZATION		
	Mé	xico		
		5 SOLE VOTING POWER		
NUMBER O	F	<b>5</b> -0-		
SHARES		CILADED VOTING DOWED		
BENEFICIA	LLY	6SHARED VOTING POWER 1,335,202 Shares (See Item 4(c))		
OWNED BY		1,555,202 Shares (See Item 4(C))		
EACH		7 SOLE DISPOSITIVE POWER		
REPORTING	j	´ - <b>0</b> -		
PERSON WI	тц	8 SHARED DISPOSITIVE POWER 1,335,202 Shares (See Item 4(c))		
TERSON WI	111	<sup>6</sup> 1,335,202 Shares (See Item 4(c))		
	AG	GREGATE AMOUNT		
9	BENEFICIALLY OWNED BY EACH			
	REPORTING PERSON			
	1,33	<b>35,202</b> Shares (See Item 4(c))		
	CH	ECK BOX IF THE AGGREGATE		
10	AMOUNT IN ROW (9) EXCLUDES			
	CERTAIN SHARES*			
	PEF	RCENT OF CLASS REPRESENTED		
11	BY	AMOUNT IN ROW 9		
	6.6	% (See Item 4(b))		
12	TY	PE OF REPORTING PERSON*		
12	IN			

<sup>\*</sup>SEE INSTRUCTIONS BEFORE FILLING OUT!

# **CUSIP No. 046513107** Page 9 of 14 Pages

1	I.R.S ABC Inm	MES OF REPORTING PERSONS S. IDENTIFICATION NO. OF OVE PERSON (ENTITIES ONLY) obiliaria Carso, S.A. de C.V. ECK THE APPROPRIATE BOX IF		
2		EMBER OF A		
4		OUP* (a) o (b) o		
3	SEC USE ONLY			
	CITIZENSHIP OR PLACE OF			
4	ORC	GANIZATION		
	Méx			
		5 SOLE VOTING POWER		
NUMBER O	F	<sup>5</sup> -0-		
SHARES		SUADED VOTING DOWED		
BENEFICIAL	LLY	6 SHARED VOTING POWER 1,335,202 Shares (See Item 4(c))		
OWNED BY				
EACH		7 SOLE DISPOSITIVE POWER		
REPORTING				
PERSON WI	TH	8 SHARED DISPOSITIVE POWER 1,335,202 Shares (See Item 4(c))		
	AGO	GREGATE AMOUNT		
9	BEN	EFICIALLY OWNED BY EACH		
,		ORTING PERSON		
		<b>5,202</b> Shares (See Item <b>4</b> (c))		
		ECK BOX IF THE AGGREGATE		
10	AMOUNT IN ROW (9) EXCLUDES			
	CERTAIN SHARES*			
		CENT OF CLASS REPRESENTED		
11		AMOUNT IN ROW 9		
		6 (See Item 4(b))		
12		E OF REPORTING PERSON*		
	HC			

<sup>\*</sup>SEE INSTRUCTIONS BEFORE FILLING OUT

#### CUSIP No. 046513107 Page 10 of 14 Pages

#### **Item**

1.

Name of Issuer:

(a)

Atara Biotherapeutics, Inc. (the "Issuer")

Address of Issuer's Principal Executive Offices:

(b) 3260 Bayshore Blvd.

Brisbane, CA 94005

#### Item

2.

## Name of Persons Filing:

This statement is filed pursuant to Rule 13d-1(d) under the U.S. Securities Exchange Act of 1934, as amended (the "Act"), by the persons listed below (the "Reporting Persons").

(1)

Carlos Slim Helú, Carlos Slim Domit, Marco Antonio Slim Domit, Patrick Slim Domit, María Soumaya Slim Domit, Vanessa Paola Slim Domit and Johanna Monique Slim Domit (collectively, the "Slim Family"). The members of the Slim Family are beneficiaries of a Mexican trust which in turn owns all of the outstanding voting securities of Inmobiliaria Carso, S.A. de C.V ("Inmobiliaria").

(2)

(a)

Inmobiliaria, a *sociedad anónima de capital variable* organized under the laws of the United Mexican States (<u>"Mexico"</u>), is a holding company with portfolio investments in various companies. Inmobiliaria owns all of the outstanding voting securities of Control Empresarial de Capitales S.A. de C.V.

## (b) Address of Principal Business Office:

(i) The principal business address for each member of the Slim Family is:

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Paseo de las Palmas 736 Colonia Lomas de Chapultepec 11000 México D.F. México

# (ii) Inmobiliaria's principal business address is:

Lago Zurich 245 Presa Falcon, Piso 20 Colonia Granada Ampliación 11529 México D.F. México

## Citizenship:

(c)

(d)

Each member of the Slim Family is a Mexican citizen and Inmobiliaria is a Mexican corporation. **Title of Class of Securities:** 

Common Stock, \$0.0001 par value per share (the "Shares") **CUSIP Number:** 

(e) 046513107

## **CUSIP No. 046513107** Page 11 of 14 Pages

# Item 3. If this statement is filed pursuant to Rule 13d-1(b), or 13d-2(b) or (c), check whether the person filing is a(n):

- (a) Broker or dealer registered under Section 15 of the Act;
- (b) Bank as defined in Section 3(a)(6) of the Act;
- (c) Insurance company as defined in Section 3(a)(19) of the Act;
- (d) Investment company registered under Section 8 of the Investment Company Act;
- (e) Investment adviser in accordance with Rule 13d-1(b)(1)(ii)(E);
- (f) Employee benefit plan or endowment fund in accordance with Rule 13d-1(b)(1)(ii)(F);
- Parent holding company or control person in accordance with Rule 13d-1(b)(1)(ii)(G);
- (h) Savings association as defined in Section 3(b) of the Federal Deposit Insurance Act;
  Church plan that is excluded from the definition of an investment company under Section 3(c)(14) of the
- (i) Investment Company Act; or
- (j) Group, in accordance with Rule 13d-1(b)(1)(ii)(J).

#### Item 4. Ownership.

#### **Amount Beneficially Owned:**

As of the date of this filing, (i) Inmobiliaria, directly or indirectly, owns 1,335,202 Shares, and (ii) the Slim Family,

(a) which are beneficiaries of a Mexican trust that in turn owns all of the issued and outstanding voting equity securities of Inmobiliaria, may be deemed to beneficially own indirectly the Shares beneficially owned, directly or indirectly, by Inmobiliaria.

#### (b) **Percent of Class:**

The Shares beneficially owned by the Slim Family constitute approximately 6.6% of the 20,212,889 issued and outstanding Shares, as reported in the Form 10-Q filed by the Issuer with the Securities and Exchange Commission on November 12,

2014.

The Shares beneficially owned by Inmobiliaria constitute approximately 6.6% of the 20,212,889 issued and outstanding Shares, as reported in the Form 10-Q filed by the Issuer with the Securities and Exchange Commission on November 12, 2014.

(c) Number of shares as to which such person has:
(Sole power to vote or to direct the vote: -0Shared power to vote or to direct the vote:

As to the Slim Family: 1,335,202 Shares

(ii)

As to Inmobiliaria: 1,335,202 Shares

(Bi)le power to dispose or to direct the disposition of: -0-Shared power to dispose or direct the disposition of:

(iv) to the Slim Family: 1,335,202 Shares

As to Inmobiliaria: 1,335,202 Shares

## CUSIP No. 046513107 Page 12 of 14 Pages

Ownership of **Five Percent** Item 5. or Less of a Class. If this statement is being filed to report the fact that as of the date hereof the reporting person has ceased to be the beneficial owner of more than five percent of the

class of

securities,

check the

c 11 ·

following:

Ownership of

More than

**Five Percent** 

on Behalf of

Item 6. Another

Person.

Not applicable.

Item 7. Identification

and

Classification

of the

**Subsidiary** 

Which

Acquired the

**Security Being** 

Reported on

by the Parent

**Holding** 

Company.

Shares reported as beneficially owned by Inmobiliaria include Shares owned by its subsidiary, Control Empresarial de Capitales, S.A. de C.V. Identification and

Classification of Members of the Group.

The identity of each member of the group filing this schedule is as follows: Carlos Slim Helú,

#### Item 8.

Carlos Slim
Domit, Marco
Antonio Slim
Domit, Patrick
Slim Domit,
María Soumaya
Slim Domit,
Vanessa Paola
Slim Domit,
Johanna
Monique Slim
Domit, and
Inmobiliaria
Carso, S.A. de
C.V.

Dissolution of Item 9. Group.

Not applicable.

## Item 10. Certifications.

**Notice of** 

By signing below I certify that, to the best of my knowledge and belief, the

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securities referred to above were not acquired and are not held for the purpose of or with the effect of changing or influencing the control of the issuer of the securities and were not acquired and are not held in connection with or as a participant in any transaction having that purpose or effect, other than activities solely in connection with a nomination under §240.14a-11.

# **CUSIP No. 046513107** Page 13 of 14 Pages

## Exhibit No.

Exhibit 99.1 Joint Filing Agreement

The Powers of Attorney for the members of the Slim Family, Inmobiliaria and GFI, which are filed as exhibits to Amendment 1 to the Schedule 13G filed by the Reporting Persons with the Commission on February 14, 2014 in respect of their ownership in equity shares of YPF Sociedad Anónima, are hereby incorporated herein by reference.

# **CUSIP No. 046513107 Page14 of 14 Pages**

## **SIGNATURE**

Title: Attorney-in-Fact

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

Carlos Slim Helú	
Carlos Slim Domit	By: <u>/s/ Raul Humberto Zepeda Ruiz</u> Raul Humberto Zepeda Ruiz
Marco Antonio Slim Domit	Attorney-in-Fact February 17, 2015
Patrick Slim Domit	2000000, 2000
María Soumaya Slim Domit	
Vanessa Paola Slim Domit	
Johanna Monique Slim Domit	
INMOBILIARIA CARSO, S.A. D	DE C.V.
By: Raul Humberto Zepeda Ruiz	