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

Atara Biotherapeutics, Inc. Form SC 13G/A February 16, 2016

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, DC 20549

SCHEDULE 13G

Under the Securities Exchange Act of 1934

(Amendment No. 1)*

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, 2015

(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).

^{*}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

| 1 | NAMES OF REPORTING PERSONS I.R.S. IDENTIFICATION NO. OF ABOVE PERSON (ENTITIES ONLY) Carlos Slim Helú CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP* |
|-----------|---|
| 2 | (a) o |
| | (b) o |
| 3 | SEC USE ONLY |
| 4 | CITIZENSHIP OR PLACE OF |
| 4 | ORGANIZATION |
| | México |
| NAME OF O | SOLE VOTING POWER 5 - 0 - |
| NUMBER O | |
| SHARES | LLY 6 SHARED VOTING POWER 616.153 Shares (See Item 4(c)) |
| OWNED BY | LLY 6616,153 Shares (See Item 4(c)) |
| EACH | SOLE DISPOSITIVE POWER |
| REPORTING | 7 SOLE DISPOSITIVE POWER - 0 - |
| PERSON WI | SHARED DISPOSITIVE POWER |
| | AGGREGATE AMOUNT |
| | BENEFICIALLY OWNED BY EACH |
| 9 | REPORTING PERSON |
| | 616,153 Shares (See Item 4(a)) |
| | CHECK BOX IF THE AGGREGATE |
| 10 | AMOUNT IN ROW (9) EXCLUDES |
| | CERTAIN SHARES* |
| | PERCENT OF CLASS REPRESENTED |
| 11 | BY AMOUNT IN ROW 9 |
| | 2.2% (See Item 4(b)) |
| 12 | TYPE OF REPORTING PERSON* |
| | IN |

^{*}SEE INSTRUCTIONS BEFORE FILLING OUT!

IN

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 |
| | A MEMBER OF A GROUP* |
| | |
| 2 | (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 | CHADED VOTING DOWED |
| BENEFICIAL | LLY 6 SHARED VOTING POWER 616,153 Shares (See Item 4(c)) |
| OWNED BY | |
| EACH | 7 SOLE DISPOSITIVE POWER |
| REPORTING | i - 0 - |
| PERSON WI | TH 8 SHARED DISPOSITIVE POWER 616,153 Shares (See Item 4(c)) |
| TERSON WI | 616,153 Shares (See Item 4(c)) |
| | AGGREGATE AMOUNT |
| 9 | BENEFICIALLY OWNED BY EACH |
| , | REPORTING PERSON |
| | 616,153 Shares (See Item 4(a)) |
| | CHECK BOX IF THE AGGREGATE |
| 10 | AMOUNT IN ROW (9) EXCLUDES |
| | CERTAIN SHARES* |
| | PERCENT OF CLASS REPRESENTED |
| BY AMOUNT IN ROW 9 | |
| | 2.2% (See Item 4(b)) |
| 12 | TYPE OF REPORTING PERSON* |
| | IN |

*SEE INSTRUCTIONS BEFORE FILLING OUT!

CUSIP No. 046513107 Page 4 of 14 Pages

| 1 | NAMES OF REPORTING PERSONS I.R.S. IDENTIFICATION NO. OF ABOVE PERSON (ENTITIES ONLY) Marco Antonio Slim Domit CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP* | |
|--------------------------------|---|--|
| 2 | (a) o | |
| | (b) o | |
| 3 | SEC USE ONLY | |
| • | CITIZENSHIP OR PLACE OF | |
| 4 | ORGANIZATION | |
| México | | |
| | 5 SOLE VOTING POWER | |
| NUMBER O | F 3-0- | |
| SHARES | SHADED VOTING DOWED | |
| BENEFICIAI | LLY 6 SHARED VOTING POWER 616,153 Shares (See Item 4(c)) | |
| OWNED BY | 010,133 Shares (See Item 4(C)) | |
| EACH | 7 SOLE DISPOSITIVE POWER | |
| REPORTING | · · · 0 - | |
| PERSON WI | TH 8 SHARED DISPOSITIVE POWER 616,153 Shares (See Item 4(c)) | |
| | AGGREGATE AMOUNT | |
| 9 | BENEFICIALLY OWNED BY EACH | |
| 9 | REPORTING PERSON | |
| 616,153 Shares (See Item 4(a)) | | |
| | CHECK BOX IF THE AGGREGATE | |
| 10 AMOUNT IN ROW (9) EXCLUDE | | |
| | CERTAIN SHARES* | |
| | PERCENT OF CLASS REPRESENTED | |
| 11 | BY AMOUNT IN ROW 9 | |
| | 2.2% (See Item 4(b)) | |
| 12 | TYPE OF REPORTING PERSON* | |
| | IN | |

^{*}SEE INSTRUCTIONS BEFORE FILLING OUT!

CUSIP No. 046513107 Page 5 of 14 Pages

| 1 | NAMES OF REPORTING PERSONS I.R.S. IDENTIFICATION NO. OF ABOVE PERSON (ENTITIES ONLY) Patrick Slim Domit CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP* |
|------------|--|
| 2 | (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 | SHARED VOTING POWER |
| BENEFICIAL | LLY 6 SHARED VOTING POWER 616,153 Shares (See Item 4(c)) |
| OWNEDDI | |
| EACH | 7 SOLE DISPOSITIVE POWER |
| REPORTING | i - 0 - |
| PERSON WI | 616,153 Shares (See Item 4(c)) |
| | AGGREGATE AMOUNT |
| 9 | BENEFICIALLY OWNED BY EACH |
| , | REPORTING PERSON |
| | 616,153 Shares (See Item 4(a)) |
| | CHECK BOX IF THE AGGREGATE |
| 10 | AMOUNT IN ROW (9) EXCLUDES |
| | CERTAIN SHARES* |
| | PERCENT OF CLASS REPRESENTED |
| 11 | BY AMOUNT IN ROW 9 |
| | 2.2% (See Item 4(b)) |
| 12 | TYPE OF REPORTING PERSON* |
| | IN |

^{*}SEE INSTRUCTIONS BEFORE FILLING OUT!

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| | NAMES OF REPORTING PERSONS | | |
|--------------------------------|--|--|--|
| 1 | I.R.S. IDENTIFICATION NO. OF | | |
| | ABOVE PERSON (ENTITIES ONLY) | | |
| | María Soumaya Slim Domit | | |
| | CHECK THE APPROPRIATE BOX IF | | |
| | A MEMBER OF A GROUP* | | |
| | | | |
| 2 | (a) o | | |
| | | | |
| | (b) o | | |
| 3 | SEC USE ONLY | | |
| CITIZENSHIP OR PLACE OF | | | |
| 4 | ORGANIZATION | | |
| | México | | |
| | SOLE VOTING POWER 5 - 0 - | | |
| NUMBER O | F ³ -0- | | |
| SHARES | CHARED WOTING DOWER | | |
| BENEFICIAL | LLY 6 SHARED VOTING POWER 616,153 Shares (See Item 4(c)) | | |
| OWNED BY | | | |
| EACH | 7 SOLE DISPOSITIVE POWER | | |
| REPORTING | i - 0 - | | |
| PERSON WI | TH 8 SHARED DISPOSITIVE POWER 616,153 Shares (See Item 4(c)) | | |
| rekson wi | 616,153 Shares (See Item 4(c)) | | |
| | AGGREGATE AMOUNT | | |
| 9 | BENEFICIALLY OWNED BY EACH | | |
| , | REPORTING PERSON | | |
| 616,153 Shares (See Item 4(a)) | | | |
| | CHECK BOX IF THE AGGREGATE | | |
| 10 AMOUNT IN ROW (9) EXCLUDES | | | |
| | CERTAIN SHARES* | | |
| | PERCENT OF CLASS REPRESENTED | | |
| BY AMOUNT IN ROW 9 | | | |
| | 2.2% (See Item 4(b)) | | |
| 12 | TYPE OF REPORTING PERSON* | | |
| 14 | IN | | |
| | | | |

^{*}SEE INSTRUCTIONS BEFORE FILLING OUT!

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| | NAMES OF REPORTING PERSONS | | |
|--------------------------------|--|--|--|
| 1 | I.R.S. IDENTIFICATION NO. OF | | |
| | ABOVE PERSON (ENTITIES ONLY) | | |
| | Vanessa Paola Slim Domit | | |
| | CHECK THE APPROPRIATE BOX IF | | |
| | A MEMBER OF A GROUP* | | |
| • | | | |
| 2 | (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 616,153 Shares (See Item 4(c)) | | |
| OWNED BY | 010,133 Shares (See Item 4(C)) | | |
| EACH | 7 SOLE DISPOSITIVE POWER | | |
| REPORTING | G '- 0 - | | |
| PERSON WI | TH 8 SHARED DISPOSITIVE POWER 616,153 Shares (See Item 4(c)) | | |
| rekson wi | 616,153 Shares (See Item 4(c)) | | |
| | AGGREGATE AMOUNT | | |
| 9 | BENEFICIALLY OWNED BY EACH | | |
| | REPORTING PERSON | | |
| 616,153 Shares (See Item 4(a)) | | | |
| | CHECK BOX IF THE AGGREGATE | | |
| 10 AMOUNT IN ROW (9) EXCLUDE | | | |
| | CERTAIN SHARES* | | |
| | PERCENT OF CLASS REPRESENTED | | |
| BY AMOUNT IN ROW 9 | | | |
| | 2.2% (See Item 4(b)) | | |
| 12 | TYPE OF REPORTING PERSON* | | |
| | IN | | |

^{*}SEE INSTRUCTIONS BEFORE FILLING OUT!

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| 1 | NAMES OF REPORTING PERSONS I.R.S. IDENTIFICATION NO. OF ABOVE PERSON (ENTITIES ONLY) Johanna Monique Slim Domit CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP* |
|-----------|---|
| 2 | (a) o |
| | (b) o |
| 3 | SEC USE ONLY |
| 4 | CITIZENSHIP OR PLACE OF |
| 4 | ORGANIZATION |
| | México |
| | 5 SOLE VOTING POWER 5 - 0 - |
| NUMBER O | F ³ -0- |
| SHARES | SHADED VOTING DOWED |
| BENEFICIA | LLY 6 SHARED VOTING POWER 616,153 Shares (See Item 4(c)) |
| OWNED BY | |
| EACH | 7 SOLE DISPOSITIVE POWER |
| REPORTING | i - 0 - |
| PERSON WI | TH 8 SHARED DISPOSITIVE POWER 616,153 Shares (See Item 4(c)) |
| | AGGREGATE AMOUNT |
| 9 | BENEFICIALLY OWNED BY EACH |
| , | REPORTING PERSON |
| | 616,153 Shares (See Item 4(a)) |
| | CHECK BOX IF THE AGGREGATE |
| 10 | AMOUNT IN ROW (9) EXCLUDES |
| | CERTAIN SHARES* |
| | PERCENT OF CLASS REPRESENTED |
| 11 | BY AMOUNT IN ROW 9 |
| | 2.2% (See Item 4(b)) |
| 12 | TYPE OF REPORTING PERSON* |
| | IN |

^{*}SEE INSTRUCTIONS BEFORE FILLING OUT!

CUSIP No. 046513107 Page 9 of 14 Pages

| 1 | NAMES OF REPORTING PERSONS I.R.S. IDENTIFICATION NO. OF ABOVE PERSON (ENTITIES ONLY) Inversora Carso, S.A. de C.V., formerly known as Inmobiliaria Carso, S.A. de C.V. CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP* | |
|------------|--|--|
| 2 | (a) o | |
| | (b) o | |
| 3 | SEC USE ONLY | |
| 4 | CITIZENSHIP OR PLACE OF | |
| • | ORGANIZATION | |
| México | | |
| NUMBER O | SOLE VOTING POWER 5 - 0 - | |
| CHADEC | | |
| BENEFICIAL | LLY 6SHARED VOTING POWER 616,153 Shares (See Item 4(c)) | |
| OWNED BY | 616,153 Shares (See Item 4(c)) | |
| EACH | 7 SOLE DISPOSITIVE POWER | |
| REPORTING | G '- 0 - | |
| PERSON WI | TH 8 SHARED DISPOSITIVE POWER 616,153 Shares (See Item 4(c)) | |
| | | |
| | AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH | |
| 9 | REPORTING PERSON | |
| | 616,153 Shares (See Item 4(a)) | |
| | CHECK BOX IF THE AGGREGATE | |
| 10 | AMOUNT IN ROW (9) EXCLUDES | |
| | CERTAIN SHARES* | |
| | PERCENT OF CLASS REPRESENTED | |
| 11 | BY AMOUNT IN ROW 9 | |
| | 2.2% (See Item 4(b)) TYPE OF REPORTING PERSON* | |
| 12 | HC | |
| | | |

^{*}SEE INSTRUCTIONS BEFORE FILLING OUT

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Item 1.

Name of Issuer:

(a) Atara

Biotherapeutics, Inc. (the <u>"Issuer"</u>)

Address of

Issuer's

Principal

Executive

Offices:

(b) 701 Gateway Blvd., Suite 200

South San

Francisco, CA

94080

Item 2.

(a) 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

<u>"Act"</u>), 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 Inversora Carso, S.A. de C.V., formerly known as Inmobiliaria Carso, SA. de C.V. ("Inversora Carso").

(2)

Inversora Carso, a sociedad anónima de capital variable organized under the laws of the United Mexican States ("Mexico"), is a holding company with portfolio investments in various companies.

Inversora Carso owns all of the outstanding voting securities of Control Empresarial de Capitales S.A. de C.V.

Address of Principal Business Office:

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

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

- (b) México
 - (ii) Inversora Carso's principal business address is:

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

Each member of the Slim Family
(c) is a Mexican citizen and Inversora Carso is a Mexican corporation.

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Title of Class of Securities:

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

(e)

(a)

046513107

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

> Broker or dealer registered under Section 15 of the

Act;

Bank as defined in Section 3(a)(6) of (b) the Act;

Insurance company as defined in (c) Section 3(a)(19) of the Act;

Investment

company registered (d) under Section 8 of the Investment Company Act;

> Investment adviser in accordance with

(e) Rule

> 13d-1(b)(1)(ii)(E);Employee benefit plan or endowment fund in accordance

(f)

with Rule

13d-1(b)(1)(ii)(F);

Parent holding (g) company or control

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person in accordance with Rule 13d-1(b)(1)(ii)(G);

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 Investment
Company Act; or

(j) Group, in accordance with Rule 13d-1(b)(1)(ii)(J).

Item 4. Ownership.

(h)

Amount Beneficially Owned:

As of the date of this filing, (i) Inversora Carso, directly or indirectly, owns 616,153 Shares, and (ii) the Slim Family, which are beneficiaries of a Mexican

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

(b) **Percent of Class:**

The Shares beneficially owned by the Slim Family constitute approximately 2.2% of the 28,631,144 issued and outstanding Shares, as reported in the Form 10-Q filed by the Issuer with the Securities and Exchange Commission on November 6, 2015.

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The Shares beneficially owned by Inversora Carso constitute approximately 2.2% of the 28,631,144 issued and outstanding Shares, as reported in the Form 10-Q filed by the Issuer with the Securities and Exchange Commission on November 6, 2015.

(c) Number of shares as to which such person has:

Sole power to

(i) vote or to direct the

vote: -0-

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Shared power to vote or to direct the vote:

As to

the Slim

Family: 616,153
Shares

As to Inversora Carso: 616,153 Shares

Sole power to dispose or to direct

(iii) the disposition of: -0-

(iv) Shared power to dispose or direct the disposition of:

As to

the

Slim

Family:

616,153

Shares

As to

Inversora

Carso:

616,153

Shares

Ownership of

Five Percent

or Less of a

Class.

If this statement is

being filed to

report the fact that

as of the date

hereof the

Item 5.

reporting person

has ceased to be

the beneficial

owner of more

than five percent

of the class of

securities, check

the 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

Inversora

Carso 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,

Carlos Slim

Item 8. Domit, Marco

Antonio Slim

Domit, Patrick

Slim Domit,

María

Soumaya Slim

Domit,

Vanessa Paola

Slim Domit,

Johanna

Monique Slim

Domit, and

Inversora

Carso, S.A. de

C.V.

Notice of

Dissolution of

Item 9. Group.

Not applicable.

Item 10. Certifications.

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

belief, the 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.

The Powers of Attorney for the members of the Slim Family, Inversora Carso and GFI, which are filed as exhibits to Amendment No. 1 to the Schedule 13G filed by the Reporting Persons with the Securities and Exchange Commission on February 14, 2014 in respect of their ownership in equity shares of YPF

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Sociedad Anónima and the Joint Filing Agreement, which is filed as an exhibit to the Schedule 13G filed by the Reporting Persons with the Securities and Exchange Commission on February 17, 2015 in respect of their ownership of Shares, are hereby incorporated herein by reference.

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SIGNATURE

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: /s/ Raul Humberto Zepeda Ruiz Raul Humberto Zepeda Ruiz |
| Marco Antonio Slim Domit | Attorney-in-Fact February 16, 2016 |
| Patrick Slim Domit | |
| María Soumaya Slim Domit | - |
| Vanessa Paola Slim Domit | - |
| Johanna Monique Slim Domit | - |
| INVERSORA CARSO, S.A. DE C.V. | |

/s/ Raul Humberto Zepeda Ruiz

By: Raul Humberto Zepeda Ruiz

Title: Attorney-in-Fact