SEC Form 3

FORM 3

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

# **INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES**

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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 <sup>*</sup> Fox-Colis Aaron			2. Date of Event Requiring Statement (Month/Day/Year) 01/31/2023		er Name <b>and</b> Ticker or Tra <u>1 Tracks Therapeu</u>	ading Symbol . <u>tics, Inc.</u> [ FRTX ]	-		
(Last)	(First) (Middle)			4. Relationship of Reporting Person(s) to Issuer (Check all applicable)			5. If Amendment, Date of Original Filed (Month/Day/Year)		
2000 CENTRAL AVENUE, SUITE 100		2	x	Director Officer (give title below)	10% Owner Other (specify below)	6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person			
(Street) BOULDER	СО	80301		VP of Finance & CAO		e & CAO	Form filed by More than One Reporting Person		
(City)	(State)	(Zip)	Table I - Non-Deriva						

#### 1. Title of Security (Instr. 4) 2. Amount of Securities 3. Ownership 4. Nature of Indirect Beneficial Ownership (Instr. Beneficially Owned (Instr. 4) Form: Direct (D) or 5)

		Indirect (I) (Instr. 5)	
Common Stock	110.44	<b>D</b> <sup>(1)</sup>	

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 Securities Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise	(D) or	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Price of Derivative Security	Indirect (I) (Instr. 5)	
Stock Option (right to buy)	09/15/2021 <sup>(2)</sup>	09/15/2030	Common Stock	195	36	D	
Stock Option (right to buy)	06/14/2022 <sup>(2)</sup>	06/14/2031	Common Stock	174	40.5	D	
Stock Option (right to buy)	05/05/2023 <sup>(2)</sup>	05/05/2032	Common Stock	800	11.7	D	
Stock Option (right to buy)	06/16/2023 <sup>(2)</sup>	06/16/2032	Common Stock	2,222	6.03	D	
Restricted Stock Units	(3)	(3)	Common Stock	8,000	(4)	D	

Explanation of Responses:

1. Includes 74 shares acquired under the Fresh Tracks Therapeutics, Inc. Employee Stock Purchase Plan.

2. The stock options vested 25% on this date, the first anniversary of the date of grant, and the remainder are vesting in equal monthly installments over the following three years.

3. The restricted stock units vest in full on January 24, 2024, the first anniversary of the grant date.

4. Each restricted stock unit represents a contingent right to receive one share of issuer common stock upon settlement

### Remarks:

Exhibit 24 - Power of Attorney

/s/ Griffin D. Foster, Attorney-in-12/01/2023 Fact for Aaron Fox-Collis (power of attorney filed herewith) \*\* Signature of Reporting Person

Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

 $^{\ast}$  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.

OMB APPROVAL

# POWER OF ATTORNEY

For Executing Form ID and Forms 3, 4, 5 and 144

The undersigned hereby constitutes and appoints each of Jonathan Zimmerman, Christine Long, Griffin Foster and Tyler Griffin, signing singly, as his true and lawful attorney-in-fact, for such period of time that the undersigned is required to file reports pursuant to Section 16(a) of the Securities Exchange Act of 1934, as amended (the "Exchange Act"), or Rule 144 of the Securities Act of 1933, as amended (the "Securities Act"), due to his affiliation with Fresh Tracks Therapeutics, Inc., a Delaware corporation, unless earlier revoked by the undersigned in a signed writing delivered to the foregoing attorneys-in-fact, to:

1) prepare, execute in the undersigned's name and on the undersigned's behalf, and submit to the U.S. Securities and Exchange Commission (the "SEC") a Form ID, including amendments thereto, and any other documents necessary or appropriate to obtain codes and passwords enabling the undersigned to make electronic filings with the SEC of reports required by Section 16(a) of the Exchange Act or any rule or regulation of the SEC;

2) prepare, execute in the undersigned's name and on the undersigned's behalf, and submit to the SEC Forms 3, 4, 5 and 144 and any amendments to previously filed forms in accordance with Section 16(a) of the Exchange Act or Rule 144 of the Securities Act and the rules thereunder;

3) do and perform any and all acts for and on behalf of the undersigned which may be necessary or desirable to complete the execution of any such Form ID or Forms 3, 4, 5 and 144 and the timely filing of such form with the SEC and any other authority as required by law; and

4) 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 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 his or her discretion.

The undersigned hereby grants to each such attorney-in-fact full power and authority to do and perform all and every act and thing whatsoever requisite, necessary and proper 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 could do if personally present, with full power of substitution or revocation, hereby ratifying and confirming all that such attorney-in-fact, or his or her 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 the foregoing attorneys-in-fact, in serving in such capacity at the

request of the undersigned, are not assuming any of the undersigned's responsibilities to comply with Section 16 of the Exchange Act or Rule 144 of the Securities Act.

IN WITNESS WHEREOF, the undersigned has caused this Power of Attorney to be executed as of this 1st day of December, 2023.

/s/ Aaron Fox-Collis Aaron Fox-Collis