# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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Under the Securities Exchange Act of 1934 (Amendment No. 3)\*

## **Autolus Therapeutics plc**

(Name of Issuer)

American Depositary Shares and Ordinary Shares, nominal value £0.000042 per share (Title of Class of Securities)

05280R 100\*\* (CUSIP Number)

December 31, 2020 (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 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.

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*).

\*\* There is no CUSIP number assigned to the ordinary shares. CUSIP number 05280R 100 has been assigned to the American Depositary Shares of the Issuer, which are quoted on the Nasdaq Global Select Market under the symbol "AUTL." Each American Depositary Share represents the right to receive one ordinary share.

## SCHEDULE 13G/A CUSIP No. 05280R 100

1	Names of Reporting Person:					
	Company Danafalla I imia d					
	Syncona Portfolio Limited					
2	2 Check the appropriate box if a member of a Group (see instructions)					
	(a) □ (b) ⊠					
3	SEC Use Only					
4	Citizen	ship	or Place of Organization			
	Guerr	isey				
		5	Sole Voting Power			
Nu	mber of	6				
	hares	O	Shared Voting Power			
Ber	neficially					
Ov	vned by		15,955,734 (1)			
	Each	7	Sole Dispositive Power			
Re	porting					
	erson		0			
1	With:	8	Shared Dispositive Power			
			15,955,734 (1)			
9	Λασμος	rata A	amount Beneficially Owned by Each Reporting Person			
9	Aggreg	gate A	infount Beneficially Owned by Each Reporting Person			
	4- 4 40					
	15,955,734 (1)					
10	O Check box if the aggregate amount in row (9) excludes certain shares (See Instructions)					
11	Percent of class represented by amount in row (9)					
	30.5% (2)					
12	Type o	f Rep	orting Person (See Instructions)			
	CO					

- (1) Consists of 12,180,333 ordinary shares and 3,775,401 American Depositary Shares ("ADSs") held directly by Syncona Portfolio Limited. Each ADS represents one ordinary share, nominal value 0.000042 GBP per share, of the Issuer. The ordinary shares and the ADSs are collectively referred to as the "Ordinary Shares".
- (2) Based on 52,298,876 Ordinary Shares outstanding as of September 30, 2020 as reported in the Issuer's report on Form 6-K filed with the Securities and Exchange Commission (the "SEC") on November 5, 2020.

## CUSIP No. 05280R 100

1	Names of Reporting Person:				
	Syncona Holdings Limited				
2	11 1 /				
	(a) □ (b) ⊠				
3	3 SEC Use Only				
4	Citizen	ship	or Place of Organization		
	Guern				
		5	Sole Voting Power		
N.T			0		
	mber of hares	6	Shared Voting Power		
	Snares Beneficially				
Owned by			15,955,734 (1)		
	Each	7	Sole Dispositive Power		
	porting Person				
	With:		0		
with.		8	Shared Dispositive Power		
			15,955,734 (1)		
9	Aggreg	ate A	mount Beneficially Owned by Each Reporting Person		
	66 - 60 - 10 - 10 - 10 - 10 - 10 - 10 -				
	15,955,734 (1)				
10	0 Check box if the aggregate amount in row (9) excludes certain shares (See Instructions)				
11	Percent of class represented by amount in row (9)				
	30.5% (2)				
12			orting Person (See Instructions)		
1	CO				

(1) Consists of 12,180,333 ordinary shares and 3,775,401 ADSs held directly by Syncona Portfolio Limited. Each ADS represents one ordinary share, nominal value 0.000042 GBP per share, of the Issuer.

(2) The percentage of outstanding Ordinary Shares of the Issuer beneficially owned by Syncona Portfolio Limited is set forth on Line 11 above. Based on 52,298,876 Ordinary Shares outstanding as of September 30, 2020 as reported in the Issuer's report on Form 6-K filed with the SEC on November 5, 2020.

## CUSIP No. 05280R 100

1	Names of Reporting Person:					
	Syncona Investment Management Limited					
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	$(a) \square (b) \boxtimes$					
3	SEC U	se Or	ıly			
4	Citizen	ship	or Place of Organization			
	Unite	d Kiı	ngdom			
		5	Sole Voting Power			
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	erson		0			
1	With:	8	Shared Dispositive Power			
		O	Shared Dispositive Fower			
			15 055 724 (1)			
			15,955,734 (1)			
9	Aggreg	gate A	amount Beneficially Owned by Each Reporting Person			
	15,955,734 (1)					
10	Check box if the aggregate amount in row (9) excludes certain shares (See Instructions)					
11	Percent of class represented by amount in row (9)					
	30.5% (2)					
12	Type o	f Rep	orting Person (See Instructions)			
	CO					

- (1) Consists of 12,180,333 ordinary shares and 3,775,401 ADSs held directly by Syncona Portfolio Limited. Each ADS represents one ordinary share, nominal value 0.000042 GBP per share, of the Issuer.
- (2) The percentage of outstanding Ordinary Shares of the Issuer beneficially owned by Syncona Portfolio Limited is set forth on Line 11 above. Based on 52,298,876 Ordinary Shares outstanding as of September 30, 2020 as reported in the Issuer's report on Form 6-K filed with the SEC on November 5, 2020.

## CUSIP No. 05280R 100

1	Names of Reporting Person:					
	Syncona Limited					
2						
	(a) □ (b) 図					
3	SEC Use Only					
4	Citizen	ship	or Place of Organization			
	Guern	ısey				
		5	Sole Voting Power			
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	mber of	6	Shared Voting Power			
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	Each	7	Sole Dispositive Power			
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'	With:	8	Shared Dispositive Power			
			15,955,734 (1)			
9	Aggreg	ate A	mount Beneficially Owned by Each Reporting Person			
	15,955,734 (1)					
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	once on a the aggregate ansum in 1011 (b) excludes extrain shares (see mor actions)					
11	Percen	t of cl	ass represented by amount in row (9)			
	30.5% (2)					
12	Type o	Rep	orting Person (See Instructions)			
	CO					

(1) Consists of 12,180,333 ordinary shares and 3,775,401 ADSs held directly by Syncona Portfolio Limited. Each ADS represents one ordinary share, nominal value 0.000042 GBP per share, of the Issuer.

(2) The percentage of outstanding Ordinary Shares of the Issuer beneficially owned by Syncona Portfolio Limited is set forth on Line 11 above. Based on 52,298,876 Ordinary Shares outstanding as of September 30, 2020 as reported in the Issuer's report on Form 6-K filed with the SEC on November 5, 2020.

## **CUSIP No. 05280R 100**

## Item 1.

- (a) Name of Issuer: Autolus Therapeutics plc
- (b) Address of Issuer's principal executive offices: Forest House, 58 Wood Lane, London W12 7RZ, United Kingdom

## Item 2.

## (a) Name of reporting persons filing:

- (i) Syncona Portfolio Limited;
- (ii) Syncona Holdings Limited;
- (iii) Syncona Investment Management Limited; and
- (iv) Syncona Limited

## (b) Address of principal business office or, if none, residence:

The address of the principal business office of Syncona Portfolio Limited, Syncona Holdings Limited and Synocna Limited is Arnold House, St Julian's Avenue, St Peter Port, Guernsey GY1 3RD, Channel Islands. The address of the principal business office of Syncona Investment Management Limited is 2nd Floor, 8 Bloomsbury Street, London WC1B 3SR, United Kingdom.

## (c) Citizenship:

Syncona Portfolio Limited, Syncona Holdings Limited and Syncona Limited's citizenship is Guernsey. Syncona Investment Management Limited's citizenship is United Kingdom.

## (d) Title and class of securities:

Ordinary Shares, nominal value 0.000042 GBP per share, and American Depositary Shares ("<u>ADS</u>"). Each ADS represents one ordinary share, nominal value 0.000042 GBP per share, of the Issuer.

## (e) CUSIP No.:

There is no CUSIP number assigned to the ordinary shares. CUSIP number 05280R 100 has been assigned to the ADS, which are quoted on the Nasdaq Global Select Market under the symbol "AUTL."

## Item 3. If this statement is filed pursuant to §§ 240.13d-1(b) or 240.13d-2(b) or (c), check whether the person filing is a:

Not applicable.

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## **CUSIP No. 05280R 100**

#### Item 4.

The following information with respect to the ownership of Ordinary Shares of the Issuer by the Reporting Persons filing this statement on Schedule 13G/A is provided as of December 31, 2020:

	Ordinary Shares Held	Sole Power to Vote or Direct the	Shared Power to Vote or Direct the	Sole Power to Dispose or Direct the Disposition	Shared Power to Dispose or Direct the Disposition	Amount Beneficially	Percentage
Reporting Persons	Directly (1)	Vote (1)	Vote (1)	(1)	(1)	Owned (1)	of Class (2)
Syncona Portfolio Limited	0	0	15,955,734	0	15,955,734	15,955,734	30.5%
Syncona Holdings Limited	15,955,734	0	15,955,734	0	15,955,734	15,955,734	30.5%
Syncona Investment Management Limited	0	0	15,955,734	0	15,955,734	15,955,734	30.5%
Syncona Limited	0	0	15,955,734	0	15,955,734	15,955,734	30.5%

- (1) Consists of 12,180,333 ordinary shares and 3,775,401 American Depositary Share ("ADS") held directly by Syncona Portfolio Limited. Each ADS represents one ordinary share, nominal value 0.000042 GBP per share, of the Issuer. The ordinary shares and the ADS are collectively referred to as the "Ordinary Shares".
- (2) The percentage of outstanding Ordinary Shares of the Issuer beneficially owned was calculated based on 52,298,876 Ordinary Shares outstanding as of September 30, 2020 as reported in the Issuer's report on Form 6-Kfiled with the SEC on November 5, 2020.

The shares are owned directly by Syncona Portfolio Limited ("Syncona Portfolio") and indirectly by Syncona Holdings Limited ("Syncona Holdings") and Syncona Limited ("Syncona Portfolio is a wholly owned subsidiary of Syncona Holdings, and Syncona Holdings is a wholly controlled subsidiary of Syncona Limited"), a publicly-listed company. Investment and voting decisions with respect to these shares are made by Syncona Portfolio, acting upon the recommendation of an investment committee of Syncona Investment Management Limited, also a subsidiary of Syncona Holdings. Each of these entities disclaims beneficial ownership except to the extent of its pecuniary interest therein, if any.

## Item 5. 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 reporting person has ceased to be the beneficial owner of more than five percent of the class of securities, check the following  $\Box$ .

## Item 6. Ownership of more than Five Percent on Behalf of Another Person.

Not applicable.

## Item 7. Identification and classification of the subsidiary which acquired the security being reported on by the parent holding company or control person.

Not applicable.

## Item 8. Identification and classification of members of the group.

Not applicable.

## Item 9. Notice of Dissolution of Group.

Not applicable.

## Item 10. Certifications.

Not applicable.

## **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.

Dated: February 12, 2021

## SYNCONA PORTFOLIO LIMITED

By: /s/ Robert Hutchinson

Name: Robert Hutchinson

Title: Director

## SYNCONA HOLDINGS LIMITED

By: /s/ Robert Hutchinson

Name: Robert Hutchinson

Title: Director

## SYNCONA INVESTMENT MANAGEMENT LIMITED

By: /s/ John Bradshaw

Name: John Bradshaw

Title: CFO

## SYNCONA LIMITED

By: /s/ Robert Hutchinson

Name: Robert Hutchinson

Title: Director

## Exhibit(s):

Exhibit 99.1: <u>Joint Filing Statement</u>

## **AGREEMENT**

In accordance with Rule 13d-1(k) under the Securities Exchange Act of 1934, as amended, the persons named below agree to the joint filing on behalf of each of them of a statement on Schedule 13G (including amendments thereto) with respect to the Ordinary Shares (represented by ADS, each of which represents one Ordinary Share) of Autolus Therapeutics plc and further agree that this Joint Filing Agreement be included as an Exhibit to such joint filings. It is understood and agreed that the joint filing of the Schedule 13G shall not be construed as an admission that the persons named herein constitute a group for purposes of Regulation 13D-G of the Securities Exchange Act of 1934, as amended.

Dated: February 12, 2021

## SYNCONA PORTFOLIO LIMITED

By: /s/ Robert Hutchinson
Name: Robert Hutchinson

Title: Director

## SYNCONA HOLDINGS LIMITED

By: /s/ Robert Hutchinson
Name: Robert Hutchinson

Title: Director

## SYNCONA INVESTMENT MANAGEMENT LIMITED

By: /s/ John Bradshaw

Name: John Bradshaw

Title: CFO

## SYNCONA LIMITED

By: /s/ Robert Hutchinson

Name: Robert Hutchinson

Title: Director