

**UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

**FORM 8-K**

**CURRENT REPORT  
Pursuant to Section 13 or 15(d)  
of the Securities Exchange Act of 1934**

**March 17, 2021  
Date of Report (Date of earliest event reported)**

**Adverum Biotechnologies, Inc.**

(Exact name of registrant as specified in its charter)

**Delaware**  
(State or other jurisdiction  
of incorporation)

**001-36579**  
(Commission  
File Number)

**20-5258327**  
(I.R.S. Employer  
Identification No.)

**800 Saginaw Drive**  
**Redwood City, CA 94063**  
(Address of principal executive offices, including zip code)

**(650) 656-9323**  
(Registrant's telephone number, including area code)

**N/A**  
(Former name or former address, if changed since last report.)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligations of the registrant under any of the following provisions:

- Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
- Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
- Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
- Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))

Securities registered pursuant to Section 12(b) of the Act:

| <b>Title of each class</b> | <b>Trading<br/>Symbol(s)</b> | <b>Name of each exchange<br/>on which registered</b> |
|----------------------------|------------------------------|--|
| <b>Common Stock</b>        | <b>ADVM</b>                  | <b>Nasdaq Global Market</b>                          |

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (§ 230.405 of this chapter) or Rule 12b-2 of the Securities Exchange Act of 1934 (§ 240.12b-2 of this chapter).

Emerging growth company

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act.

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**Item 5.02      Departure of Directors or Certain Officers; Election of Directors; Appointment of Certain Officers; Compensatory Arrangements of Certain Officers.**

*Departure of Chief Medical Officer*

On March 17, 2021, Adverum Biotechnologies, Inc. and Aaron Osborne, Chief Medical Officer, concluded that Mr. Osborne would cease to be an officer of Adverum effective immediately. Mr. Osborne's employment terminated on March 19, 2021. Mr. Osborne has agreed to consult with Adverum to ensure a smooth transition.

The consulting agreement provides that Mr. Osborne will provide consulting services to Adverum for a period of three months, during which time the options to purchase Adverum common stock held by Mr. Osborne will vest.

**SIGNATURES**

Pursuant to the requirements of the Securities Exchange Act of 1934, the Registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

**ADVERUM BIOTECHNOLOGIES, INC.**

Date: March 23, 2021

By: /s/ Laurent Fischer, M.D.

Laurent Fischer, M.D.

Chief Executive Officer