# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

**WASHINGTON, D.C. 20549** 

# **SCHEDULE 13G**

Under the Securities Exchange Act of 1934 (Amendment No. 2)\*

# ROCKET PHARMACEUTICALS, INC.

(Name of Issuer)

Common Stock, par value \$0.01 per share (Title of Class of Securities)

77313F106 (CUSIP Number)

December 31, 2019 (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(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).

1	Name of reporting persons.				
	Boxer Capital, LLC				
2					
	(a) □ (b) ⊠				
3	SEC use only.				
4	Citizenship or place of organization.				
	Delaware				
	Delaware	5	Sole voting power.		
NII	IMPED OF		-0-		
NUMBER OF SHARES BENEFICIALLY OWNED BY		6	Shared voting power.		
			1,466,051		
	EACH	7	Sole dispositive power.		
REPORTING PERSON WITH:			-0-		
		8	Shared dispositive power.		
			1,466,051		
9	Aggregate a	mount l	peneficially owned by each reporting person.		
	1,466,051				
10					
11					
	2.7%*				
12	Type of repo	orting p	erson		
	00				

<sup>\*</sup> Based on 54,173,722 shares of Common Stock outstanding as set forth in the Issuer's prospectus supplement that was filed with the Securities and Exchange Commission on December 11, 2019.

1	Name of reporting persons.				
	Boxer Asset Management Inc.				
2	of the first of th				
	(a) □ (b) ⊠				
3	SEC use only.				
4	Citizenship or place of organization.				
	Bahamas				
		5	Sole voting power.		
NUMBER OF SHARES BENEFICIALLY OWNED BY			-0-		
		6	Shared voting power.		
			1,466,051		
DI	EACH	7	Sole dispositive power.		
REPORTING PERSON WITH:			-0-		
		8	Shared dispositive power.		
			1,466,051		
9	Aggregate a	mount l	peneficially owned by each reporting person.		
	1,466,051				
10					
11	Percent of class represented by amount in row (9).				
11	rescent of class represented by annount in row (9).				
	2.7%*				
12	2 Type of reporting person				
	CO				

<sup>\*</sup> Based on 54,173,722 shares of Common Stock outstanding as set forth in the Issuer's prospectus supplement that was filed with the Securities and Exchange Commission on December 11, 2019.

1	1 Name of reporting persons.				
	MVA Investors, LLC				
2	Check the appropriate box if a member of a group. (See instructions)  (a) □ (b) ⊠				
3	SEC use only.				
4	Citizenship	Citizenship or place of organization.			
	Delaware				
		5	Sole voting power.		
NI	JMBER OF		-0-		
SHARES BENEFICIALLY OWNED BY		6	Shared voting power.		
			182,844		
RI	EACH EPORTING	7	Sole dispositive power.		
PERSON			-0-		
	WITH:	8	Shared dispositive power.		
_			182,844		
9	Aggregate a	mount l	peneficially owned by each reporting person.		
	182,844				
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).				
	0.3%*				
12	2 Type of reporting person				
	00				

<sup>\*</sup> Based on 54,173,722 shares of Common Stock outstanding as set forth in the Issuer's prospectus supplement that was filed with the Securities and Exchange Commission on December 11, 2019.

1	Name of reporting persons.				
	Aaron I. Davis				
2					
	(a) □ (b) ⊠				
3	SEC use only.				
4	Citizenship or place of organization.				
	United States				
		5	Sole voting power.		
NUMBER OF SHARES BENEFICIALLY OWNED BY			-0-		
		6	Shared voting power.		
			182,844		
DI	EACH	7	Sole dispositive power.		
	EPORTING PERSON		-0-		
WITH:		8	Shared dispositive power.		
			182,844		
9	Aggregate a	mount l	peneficially owned by each reporting person.		
	182,844				
10					
11	Percent of class represented by amount in row (9).				
11	Percent of C	iass rep	resented by amount in row (9).		
	0.3%*				
12	Type of repo	orting p	erson		
	IN				

<sup>\*</sup> Based on 54,173,722 shares of Common Stock outstanding as set forth in the Issuer's prospectus supplement that was filed with the Securities and Exchange Commission on December 11, 2019.

1	Name of reporting persons.				
	Joe Lewis				
2	Check the appropriate box if a member of a group. (See instructions)  (a) □ (b) ⊠				
	(a) □ (b) ⊠				
3	SEC use only.				
4	Citizenship	tizenship or place of organization.			
	United Kingdom				
		5	Sole voting power.		
NUMBER OF SHARES			-0-		
		6	Shared voting power.		
	NEFICIALLY WNED BY		1,466,051		
DI	EACH EPORTING	7	Sole dispositive power.		
PERSON			-0-		
	WITH:	8	Shared dispositive power.		
			1,466,051		
9	Aggregate a	mount l	peneficially owned by each reporting person.		
	1,466,051				
10					
11	Percent of c	lass rep	resented by amount in row (9).		
	2.7%*				
12	Type of repo	orting p	erson		
	IN				

<sup>\*</sup> Based on 54,173,722 shares of Common Stock outstanding as set forth in the Issuer's prospectus supplement that was filed with the Securities and Exchange Commission on December 11, 2019.

This Amendment No. 2 ("Amendment No. 2") amends and supplements the statement on Schedule 13G initially filed on January 19, 2018 (the "Original Filing") by Boxer Capital, LLC ("Boxer Capital"), Boxer Asset Management Inc. ("Boxer Management"), MVA Investors, LLC ("MVA Investors"), and Joe Lewis, as amended by Amendment No. 1 filed on February 14, 2019. This Amendment No. 2 serves as the original filing for Aaron I. Davis ("Aaron Davis" and, together with Boxer Capital, Boxer Management, MVA Investors and Joe Lewis, the "Reporting Persons"), and amends and supplements the statement on Schedule 13G initially filed on January 19, 2018 (the "Original Filing"). The Original Filing remains in effect except to the extent that it is amended, restated or superseded by information contained in this Amendment No. 2. Capitalized terms used and not defined in this Amendment No. 2 have the meanings set forth in the Original Filing, as amended.

As a result of organizational changes, as of February 13, 2020, Aaron Davis has voting and dispositive power over any shares held by MVA Investors.

#### Item 2(a). Name of Person Filing:

This Schedule 13G is jointly filed by the Reporting Persons. Boxer Management is the managing member and majority owner of Boxer Capital. Joe Lewis is the sole indirect beneficial owner of and controls Boxer Management. MVA Investors is the independent, personal investment vehicle of certain employees of Boxer Capital. Aaron Davis is a member of and has voting and dispositive power over securities held by MVA Investors.

#### Item 2(b). Address of Principal Business Office, or, if none, Residence:

The principal business address of Boxer Capital, MVA Investors and Aaron Davis is: 11682 El Camino Real, Suite 320, San Diego, CA 92130. The principal business address of Boxer Management and Joe Lewis is: Cay House, EP Taylor Drive N7776, Lyford Cay, New Providence, Bahamas.

#### Item 2(c). Citizenship:

Boxer Capital is a limited liability company organized under the laws of Delaware. Boxer Management is a corporation organized under the laws of the Bahamas. Joe Lewis is a citizen of the United Kingdom. MVA Investors is a limited liability company organized under the laws of Delaware. Aaron Davis is a citizen of the United States.

#### Item 2(d). Title of Class of Securities:

Common Stock, par value \$0.01 (the "Common Stock")

#### Item 2(e). CUSIP Number:

77313F106

# 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:

Not applicable.

### Item 4. Ownership.

(a) Amount beneficially owned:

The Reporting Persons beneficially own in the aggregate 1,648,895 shares of Common Stock. Boxer Capital, Boxer Management and Joe Lewis beneficially own 1,466,051 shares of Common Stock. MVA Investors and Aaron Davis beneficially own 182,844 shares of Common Stock.

#### (b) Percent of class:

The shares of Common Stock beneficially owned by the Reporting Persons in the aggregate represent 3.0%\* of the Issuer's outstanding shares of Common Stock. The shares of Common Stock beneficially owned by Boxer Capital, Boxer Management and Joe Lewis represent 2.7%\* of the Issuer's outstanding shares of Common Stock. The shares of Common Stock beneficially owned by MVA Investors and Aaron Davis represent 0.3%\* of the Issuer's outstanding shares of Common Stock.

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

None of the Reporting Persons has sole power to vote or to direct the vote of any shares of Common Stock.

(ii) Shared power to vote or to direct the vote:

Boxer Capital, Boxer Management and Joe Lewis have shared power to vote or to direct the vote of the 1,466,051 shares of Common Stock they beneficially own. MVA Investors and Aaron Davis have shared power to vote or to direct the vote of the 182,844 shares of Common Stock they beneficially own.

- (iii) Sole power to dispose or to direct the disposition of:
  - None of the Reporting Persons has sole power to dispose or to direct the disposition of any shares of Common Stock.
- (iv) Shared power to dispose or to direct the disposition of:

Boxer Capital, Boxer Management and Joe Lewis have shared power to dispose or to direct the disposition of the 1,466,051 shares of Common Stock they beneficially own. MVA Investors and Aaron Davis have shared power to dispose of or to direct the disposition of the 182,844 shares of Common Stock they beneficially own.

\* Based on 54,173,722 shares of Common Stock outstanding as set forth in the Issuer's prospectus supplement that was filed with the Securities and Exchange Commission on December 11, 2019.

#### Item 5. Ownership of Five Percent or Less of a Class.

With respect to each Reporting Person:

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 5 percent of the class of securities, check the following  $\boxtimes$ .

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

Only Boxer Capital has the right to receive dividends and the proceeds from the sale of the shares of Common Stock held by Boxer Capital. Only MVA Investors has the right to receive dividends and the proceeds from sale of the shares of Common Stock held by MVA Investors.

# 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. Certification.

(c) 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.

# **Exhibits**

Joint Filing Agreement among the Reporting Persons, dated February 14, 2020.

#### **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.

February 14, 2020

# BOXER CAPITAL, LLC

By: /s/ Aaron I. Davis

Name: Aaron I. Davis Title: Authorized Signatory

#### BOXER ASSET MANAGEMENT INC.

By: /s/ Jason Callender

Name: Jason Callender

Title: Director

# MVA INVESTORS, LLC

By: /s/ Aaron I. Davis
Name: Aaron I. Davis
Title: Authorized Signatory

JOSEPH C. LEWIS

/s/ Joseph C. Lewis

Joseph C. Lewis, Individually

AARON I. DAVIS

/s/ Aaron I. Davis

Aaron I. Davis, Individually

#### JOINT FILING AGREEMENT

The undersigned hereby agree that the Statement on Schedule 13G with respect to the Common Stock of Rocket Pharmaceuticals, Inc., par value \$0.01, is, and any amendments thereto executed by each of us shall be, filed on behalf of each of us pursuant to and in accordance with the provisions of Rule 13d-1(k)(1) under the Securities Exchange Act of 1934, as amended, and that this Agreement shall be included as an Exhibit to the Schedule 13G and each such amendment. Each of the undersigned agrees to be responsible for the timely filing of the Schedule 13G and any amendments thereto, and for the completeness and accuracy of the information concerning itself contained therein. This Agreement may be executed in any number of counterparts, all of which taken together shall constitute one and the same instrument.

IN WITNESS WHEREOF, the undersigned have executed this Agreement as of February 14, 2020.

BOXER CAPITAL, LLC

By: /s/ Aaron I. Davis

Name: Aaron I. Davis

Title: Chief Executive Officer

BOXER ASSET MANAGEMENT INC.

By: <u>/s/ Jason Callender</u>

Name: Jason Callender

Title: Director

JOSEPH C. LEWIS

/s/ Joseph C. Lewis

Joseph C. Lewis, Individually

MVA INVESTORS, LLC

By: /s/ Aaron I. Davis

Name: Aaron I. Davis Title: Authorized Signatory

AARON I. DAVIS

/s/ Aaron I. Davis

Aaron I. Davis, Individually