

Amphastar Pharmaceuticals, Inc.

Form 4

June 09, 2015

FORM 4**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

Check this box
if no longer
subject to
Section 16.
Form 4 or
Form 5
obligations
may continue.
See Instruction
1(b).

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF
SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section
30(h) of the Investment Company Act of 1940

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
Zhang Jack Y.

(Last) (First) (Middle)

C/O AMPHASTAR
PHARMACEUTICALS,
INC., 11570 6TH STREET

(Street)

RANCHO
CUCAMONGA, CA 91730

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
Amphastar Pharmaceuticals, Inc.
[AMPH]

3. Date of Earliest Transaction
(Month/Day/Year)
03/27/2015

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)
CEO & Chief Science Officer

6. Individual or Joint/Group Filing(Check
Applicable Line)
☐ Form filed by One Reporting Person
☒ Form filed by More than One Reporting
Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock	03/27/2015		F	(A) or (D) 20,877 (1)	\$ 15.43 911,636	D	
Common Stock	06/05/2015		M	48,980 A	\$ 12.97 960,616	D	
Common Stock	06/05/2015		S(2)	44,149 D	\$ 16.4642 916,467 (3)	D	
Common Stock	06/08/2015		M	30,066 A	\$ 12.97 946,533	D	

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Common Stock	06/08/2015	<u>S⁽²⁾</u>	27,020	D	\$ ^{16.614} ₍₄₎	919,513	D	
Common Stock	06/09/2015	M	28,324	A	\$ 12.97	947,837	D	
Common Stock	06/09/2015	<u>S⁽²⁾</u>	25,700	D	\$ ^{16.2356} ₍₅₎	922,137	D	
Common Stock	03/27/2015	F	^{8,641} ₍₁₎	D	\$ 15.43	661,666	I	See footnote <u>(6)</u>
Common Stock	06/05/2015	M	50,162	A	\$ 12.97	711,828	I	See footnote <u>(6)</u>
Common Stock	06/05/2015	<u>S⁽²⁾</u>	43,989	D	\$ ^{16.4657} ₍₇₎	667,839	I	See footnote <u>(6)</u>
Common Stock	06/08/2015	M	30,152	A	\$ 12.97	697,991	I	See footnote <u>(6)</u>
Common Stock	06/08/2015	<u>S⁽²⁾</u>	27,100	D	\$ ^{16.6087} ₍₈₎	670,891	I	See footnote <u>(6)</u>
Common Stock	06/09/2015	M	28,433	A	\$ 12.97	699,324	I	See footnote <u>(6)</u>
Common Stock	06/09/2015	<u>S⁽²⁾</u>	25,800	D	\$ ^{16.1229} ₍₉₎	673,524	I	See footnote <u>(6)</u>
Common Stock						7,631,594	I	See footnote <u>(10)</u>
Common Stock						5,000	I	See footnote <u>(11)</u>
Common Stock						200,000	I	See footnote <u>(12)</u>

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

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SEC 1474
(9-02)

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Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option (right to buy)	\$ 12.97	06/05/2015		M	48,980	<u>(13)</u>	09/28/2015	Common Stock	48,980
Employee Stock Option (right to buy)	\$ 12.97	06/08/2015		M	30,066	<u>(13)</u>	09/28/2015	Common Stock	30,066
Employee Stock Option (right to buy)	\$ 12.97	06/09/2015		M	28,324	<u>(13)</u>	09/28/2015	Common Stock	28,324
Employee Stock Option (right to buy)	\$ 12.97	06/05/2015		M	50,162	<u>(13)</u>	09/28/2015	Common Stock	50,162
Employee Stock Option (right to buy)	\$ 12.97	06/08/2015		M	30,152	<u>(13)</u>	09/28/2015	Common Stock	30,152
Employee Stock Option (right to buy)	\$ 12.97	06/09/2015		M	28,433	<u>(13)</u>	09/28/2015	Common Stock	28,433

Reporting Owners

Reporting Owner Name / Address

Relationships

Reporting Owners

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	Director	10% Owner	Officer	Other
Zhang Jack Y. C/O AMPHASTAR PHARMACEUTICALS, INC. 11570 6TH STREET RANCHO CUCAMONGA, CA 91730	X	X	CEO & Chief Science Officer	
Luo Mary Z. C/O AMPHASTAR PHARMACEUTICALS, INC. 11570 6TH STREET RANCHO CUCAMONGA, CA 91730	X	X	COO, Chief Scientist, Chairman	

Signatures

/s/ Ken Stupak, by power of attorney for Jack Y. Zhang 06/09/2015

__Signature of Reporting Person

Date

/s/ Ken Stupak, by power of attorney for Mary Z. Luo 06/09/2015

__Signature of Reporting Person

Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 4(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).
- (1) The reported securities were withheld to satisfy the Reporting Person's tax liability in connection with the vesting of deferred stock units (DSUs).
- (2) The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the each of the reporting persons on December 16, 2014.
- (3) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$16.28 to \$16.5015, inclusive. The reporting persons undertake to provide to the Issuer, any security holder of the Issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in footnotes (3), (4), (5), (7), (8) and (9) to this Form 4.
- (4) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$16.41 to \$16.85, inclusive.
- (5) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$16.50 to \$16.595, inclusive.
- (6) The securities are held of record by Mary Z. Luo. The reporting persons are husband and wife.
- (7) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$16.28 to \$16.52, inclusive.
- (8) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$16.41 to \$16.825, inclusive.
- (9) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$16.00 to \$16.595, inclusive.
- (10) The shares are held of record by Applied Physics & Chemistry Laboratories, Inc., of which the reporting persons are the sole owners.
- (11) The shares are held of record in an account for the benefit of the reporting persons' son. The reporting persons disclaims beneficial ownership of these shares, and the inclusion of these shares in this report should not be deemed an admission of beneficial ownership of any such shares for purposes of Section 16, or for any other purpose.
- (12) The shares are held of record by a trust for the benefit of the reporting persons' son. The reporting persons disclaims beneficial ownership of these shares, and the inclusion of these shares in this report should not be deemed an admission of beneficial ownership of any such shares for purposes of Section 16, or for any other purpose.

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(13) Shares subject to the option are fully vested and immediately exercisable.

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