

GIVEN DOUGLAS B

Form 4

February 26, 2019

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 *
GIVEN DOUGLAS B

(Last) (First) (Middle)

225 S. LAKE AVENUE, SUITE
1050

(Street)

PASADENA, CA 91101

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading
Symbol
ARROWHEAD
PHARMACEUTICALS, INC.
[ARWR]

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

02/22/2019

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)

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)
			Code	V	Amount	(A) or (D)	Price			
Common Stock	02/22/2019		S ⁽¹⁾		3,000	D	\$ 18.05 ⁽²⁾	175,130	D	
Common Stock	02/26/2019		M		30,000	A	\$ 5.19	205,130	D	
Common Stock	02/26/2019		M		18,000	A	\$ 2.19	223,130	D	
Common Stock	02/26/2019		M		10,000	A	\$ 2.62	233,130	D	

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Common Stock	02/26/2019	M	7,000	A	\$ 4.75	240,130	D
Common Stock	02/26/2019	S	65,000	D	\$ <u>(3)</u> 19.25	175,130	D

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

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(9-02)

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
Stock Option (right to buy)	\$ 5.19	02/26/2019		M	30,000	02/16/2013 ⁽⁴⁾ 02/16/2022	Common Stock 30,000
Stock Option (right to buy)	\$ 2.19	02/26/2019		M	18,000	03/21/2014 ⁽⁴⁾ 03/21/2023	Common Stock 18,000
Stock Option (right to buy)	\$ 2.62	02/26/2019		M	10,000	09/28/2013 ⁽⁴⁾ 09/28/2022	Common Stock 10,000
Stock Option (right to buy)	\$ 4.75	02/26/2019		M	7,000	09/21/2014 ⁽⁴⁾ 09/21/2023	Common Stock 7,000

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

GIVEN DOUGLAS B
225 S. LAKE AVENUE
SUITE 1050
PASADENA, CA 91101

X

Signatures

/s/ Douglass
Given

02/26/2019

__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) Open market sale pursuant to a 10b5-1 trading plan adopted by the Reporting Person in accordance with Rule 10b5-1 of the Securities Exchange Act of 1934, as amended.

- (2) The price reported on Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$17.92 to \$18.18, inclusive. The reporting person undertakes to provide to Arrowhead Pharmaceuticals, Inc., any security holder of Arrowhead Pharmaceuticals, Inc., 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 this footnote of this Form 4.

- (3) The price reported on Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$19.25 to \$19.30, inclusive. The reporting person undertakes to provide to Arrowhead Pharmaceuticals, Inc., any security holder of Arrowhead Pharmaceuticals, Inc., 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 this footnote of this Form 4.

- (4) Options fully vested on the 1 year anniversary of the grant date.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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