

ALEXION PHARMACEUTICALS INC

Form 4

January 09, 2017

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
PARVEN ALVIN S

(Last) (First) (Middle)

C/O ALEXION
PHARMACEUTICALS, INC, 100
COLLEGE STREET

(Street)

NEW HAVEN, CT 06510

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading
SymbolALEXION PHARMACEUTICALS
INC [ALXN]3. Date of Earliest Transaction
(Month/Day/Year)
01/05/20174. 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 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, par value \$.0001 per share	01/05/2017		M	7,932 (1)	A \$ 26.64 14,305	D	
Common Stock, par value \$.0001 per share	01/05/2017		M	5,572 (1)	A \$ 49.43 19,877	D	

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Common Stock, par value \$.0001 per share	01/05/2017	M	<u>3,237</u> (1)	A	\$ 85.75	23,114	D
Common Stock, par value \$.0001 per share	01/05/2017	M	<u>3,425</u> (1)	A	\$ 96.35	26,539	D
Common Stock, par value \$.0001 per share	01/05/2017	S	185 (1)	D	\$ 133.95 (2)	26,354	D
Common Stock, par value \$.0001 per share	01/05/2017	S	369 (1)	D	\$ 135.7 (3)	25,985	D
Common Stock, par value \$.0001 per share	01/05/2017	S	<u>7,375</u> (1)	D	\$ 137.56 (4)	18,610	D
Common Stock, par value \$.0001 per share	01/05/2017	S	<u>5,176</u> (1)	D	\$ 138.6 (5)	13,434	D
Common Stock, par value \$.0001 per share	01/05/2017	S	<u>5,350</u> (1)	D	\$ 139.49 (6)	8,084	D
Common Stock, par value \$.0001 per share	01/05/2017	S	<u>1,433</u> (1)	D	\$ 140.59 (7)	6,651	D
Common Stock, par value \$.0001 per share	01/05/2017	S	278 (1)	D	\$ 141.23 (8)	6,373	D
	01/05/2017	S	853 (1)	D		5,520	I

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Common Stock, par value \$.0001 per share					\$ 133.65 <u>(9)</u>			by spouse's trust
Common Stock, par value \$.0001 per share	01/05/2017	S	15 <u>(1)</u>	D	\$ 133.95 <u>(2)</u>	5,505	I	by spouse
Common Stock, par value \$.0001 per share	01/05/2017	S	31 <u>(1)</u>	D	\$ 135.69 <u>(3)</u>	5,474	I	by spouse
Common Stock, par value \$.0001 per share	01/05/2017	S	599 <u>(1)</u>	D	\$ 137.56 <u>(4)</u>	4,875	I	by spouse
Common Stock, par value \$.0001 per share	01/05/2017	S	421 <u>(1)</u>	D	\$ 138.6 <u>(5)</u>	4,454	I	by spouse
Common Stock, par value \$.0001 per share	01/05/2017	S	435 <u>(1)</u>	D	\$ 139.49 <u>(6)</u>	4,019	I	by spouse
Common Stock, par value \$.0001 per share	01/05/2017	S	117 <u>(1)</u>	D	\$ 140.59 <u>(7)</u>	3,902	I	by spouse
Common Stock, par value \$.0001 per share	01/05/2017	S	22 <u>(1)</u>	D	\$ 141.22 <u>(8)</u>	3,880	I	by spouse

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

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(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
Option to Purchase Common Stock	\$ 26.64	01/05/2017		M	7,932 (1)	08/12/2010 05/12/2020	Common Stock, par value \$.0001 per share 7,932
Option to Purchase Common Stock	\$ 49.43	01/05/2017		M	5,572 (1)	08/11/2011 05/11/2021	Common Stock, par value \$.0001 per share 0
Option to Purchase Common Stock	\$ 85.75	01/05/2017		M	3,237 (1)	08/08/2012 05/08/2022	Common Stock, par value \$.0001 per share 3,237
Option to Purchase Common Stock	\$ 96.35	01/05/2017		M	3,425 (1)	08/07/2013 05/07/2023	Common Stock, par value \$.0001 per share 3,425

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
PARVEN ALVIN S C/O ALEXION PHARMACEUTICALS, INC 100 COLLEGE STREET NEW HAVEN, CT 06510	X			

Signatures

/s/ Michael Greco Attorney-in-Fact for Alvin
Parven

01/09/2017

__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) This transaction is made pursuant to the terms of a sales plan designed to meet the requirements of Rule 10b5-1(c)(1) of the Securities Exchange Act.

(2) This transaction was executed in multiple trades through a broker-dealer at prices ranging from \$133.95 - \$134.95. The price reported in this column reflects the weighted average sales price. Upon request, the reporting person will provide to the SEC staff full information regarding the number of shares sold at each price.

(3) This transaction was executed in multiple trades through a broker-dealer at prices ranging from \$135.22 - \$136.22. The price reported in this column reflects the weighted average sales price. Upon request, the reporting person will provide to the SEC staff full information regarding the number of shares sold at each price.

(4) This transaction was executed in multiple trades through a broker-dealer at prices ranging from \$137.04 - \$138.04. The price reported in this column reflects the weighted average sales price. Upon request, the reporting person will provide to the SEC staff full information regarding the number of shares sold at each price.

(5) This transaction was executed in multiple trades through a broker-dealer at prices ranging from \$138.05 - \$139.05. The price reported in this column reflects the weighted average sales price. Upon request, the reporting person will provide to the SEC staff full information regarding the number of shares sold at each price.

(6) This transaction was executed in multiple trades through a broker-dealer at prices ranging from \$139.08 - \$140.08. The price reported in this column reflects the weighted average sales price. Upon request, the reporting person will provide to the SEC staff full information regarding the number of shares sold at each price.

(7) This transaction was executed in multiple trades through a broker-dealer at prices ranging from \$140.13 - \$141.13. The price reported in this column reflects the weighted average sales price. Upon request, the reporting person will provide to the SEC staff full information regarding the number of shares sold at each price.

(8) This transaction was executed in multiple trades through a broker-dealer at prices ranging from \$141.17 - \$142.17. The price reported in this column reflects the weighted average sales price. Upon request, the reporting person will provide to the SEC staff full information regarding the number of shares sold at each price.

(9) This transaction was executed in multiple trades through a broker-dealer at prices ranging from \$133.65 - \$134.65. The price reported in this column reflects the weighted average sales price. Upon request, the reporting person will provide to the SEC staff full information regarding the number of shares sold at each price.

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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