

SHROTRIYA RAJESH C MD
Form 5
February 14, 2013

FORM 5

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).
Form 3 Holdings
Reported
Form 4
Transactions
Reported

**ANNUAL 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

OMB
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1. Name and Address of Reporting Person *
SHROTRIYA RAJESH C MD

2. Issuer Name **and** Ticker or Trading
Symbol
SPECTRUM
PHARMACEUTICALS INC [SPPI]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Statement of Issuer's Fiscal Year Ended
(Month/Day/Year)
12/31/2012

☒ Director ☒ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)
Chairman, CEO & President

11500 S. EASTERN AVE., SUITE
240

(Street)

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

6. Individual or Joint/Group Reporting

(check applicable line)

HENDERSON, NV 89052

☒ Form Filed by One Reporting Person
☐ Form Filed by More than One Reporting
Person

(City) (State) (Zip)

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 at end of Issuer's Fiscal Year (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock, \$.001 Par Value	07/13/2012	Â	G ⁽¹⁾	4,827 D \$ 0	1,484,106	D	Â
Common Stock, \$.001 Par Value	07/13/2012	Â	G ⁽²⁾	1,609 D \$ 0	1,484,106	D	Â

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Common Stock, \$0.001 Par Value	12/18/2012	Â	G ⁽³⁾	455,516	D	\$ 0	1,484,106	D	Â
Common Stock, \$0.001 Par Value	12/18/2012	Â	G ⁽³⁾	455,516	A	\$ 0	9,523	I	By Spouse
Common Stock, \$0.001 Par Value	12/18/2012	Â	G ⁽⁴⁾	445,993	D	\$ 0	9,523	I	By Spouse
Common Stock, \$0.001 Par Value	12/18/2012	Â	G ⁽⁴⁾	445,993	A	\$ 0	445,993	I	By CS Family Trust ⁽⁴⁾
Common Stock, \$0.001 Par Value	12/18/2012	Â	G ⁽⁵⁾	10,676	D	\$ 0	1,484,106	D	Â
Common Stock, \$0.001 Par Value	12/18/2012	Â	G ⁽⁵⁾	10,676	A	\$ 0	10,676	I	By Shrotriya Gift Trust ⁽⁵⁾
Common Stock, \$0.001 Par Value	12/20/2012	Â	G ⁽⁶⁾	10,000	D	\$ 0	1,484,106	D	Â
Common Stock, \$0.001 Par Value	12/20/2012	Â	G ⁽⁶⁾	10,000	A	\$ 0	57,177	I	By Shrotriya Family Foundation ⁽⁶⁾
Common Stock, \$0.001 Par Value	12/20/2012	Â	G ⁽⁷⁾	2,823	D	\$ 0	57,177	I	By Shrotriya Family Foundation ⁽⁷⁾
Common Stock, \$0.001 Par Value	Â	Â	Â	Â	Â	Â	22,011	I	By 401(k) plan

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

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SEC 2270
(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)	8. Price of Derivative Security (Instr. 5)	9. of D
					(A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares		

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
SHROTRIYA RAJESH C MD 11500 S. EASTERN AVE. SUITE 240 HENDERSON, NV 89052	Chairman, CEO & President

Signatures

Brett L. Scott, attorney-in-fact for Rajesh C. Shrotriya
02/14/2013

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 involved a gift of securities by the reporting person to his adult children and daughter-in-law, who do not share the reporting person's household. The reporting person disclaims beneficial ownership of the shares held by his adult children and daughter-in-law, and this report should not be deemed an admission that the reporting person is the beneficial owner of his children's or daughter-in-law's shares for purposes of Section 16 or any other purpose.
- (2) This transaction involved a gift of securities by the reporting person to a trust for the benefit of his grandson, who does not share the reporting person's household. The reporting person disclaims beneficial ownership of the shares held by this trust, and this report should not be deemed an admission that the reporting person is the beneficial owner of the trust's shares for purposes of Section 16 or any other purpose.
- (3) Transfer to spouse for estate planning purposes.
- (4) Transfer for estate planning purposes by spouse to the CS Family Trust. The reporting person has an indirect beneficial ownership as trustee of the CS Family Trust.
- (5) Transfer to Shrotriya Gift Trust for estate planning purposes. Indirect beneficial ownership through spouse, who serves as trustee of the Shrotriya Gift Trust.

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- (6) This transaction involved a gift of securities by the reporting person to the Shrotriya Family Foundation, a Nevada nonprofit corporation. The reporting person has an indirect beneficial ownership, as a director and officer of the Shrotriya Family Foundation, a Nevada nonprofit corporation.
- (7) This transaction involved a gift of securities by the Shrotriya Family Foundation, a Nevada nonprofit corporation, to three not-for-profit charitable organizations. The reporting person has an indirect beneficial ownership, as a director and officer of the Shrotriya Family Foundation, a Nevada nonprofit corporation.

Note: File three copies of this Form, one of which must be manually signed. If space provided is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.