

PRZYBYL ARTHUR

Form 4

March 05, 2018

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
PRZYBYL ARTHUR

(Last) (First) (Middle)

C/O ANI PHARMACEUTICALS,
INC., 210 MAIN STREET WEST

(Street)

BAUDETTE, MN 56623

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
ANI PHARMACEUTICALS INC
[ANIP]

3. Date of Earliest Transaction
(Month/Day/Year)
03/01/2018

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)
President and CEO

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	03/01/2018		M		9,375	A	\$ 40.59	219,358	D
Common Stock	03/01/2018		M		6,375	A	\$ 33	225,733	D
Common Stock	03/01/2018		M		8,236	A	\$ 6.36	233,969	D
Common Stock	03/01/2018		S		11,326	D	\$ 60.59 (1)	222,643	D
	03/01/2018		S		8,400	D		214,243	D

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Common					\$		
Stock					61.62		
					(2)		
Common	03/01/2018	S	4,260	D	\$	62.17	209,983 D
Stock					(3)		

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

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SEC 1474
(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)	8. I Der Sec (In
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option	\$ 40.59	03/01/2018		M	9,375	<u>(4)</u>	04/06/2026	Common Stock	9,375
Stock Option	\$ 33	03/01/2018		M	6,375	<u>(5)</u>	03/31/2024	Common Stock	6,375
Stock Option	\$ 6.36	03/01/2018		M	8,236	<u>(6)</u>	07/11/2023	Common Stock	8,236

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
PRZYBYL ARTHUR C/O ANI PHARMACEUTICALS, INC. 210 MAIN STREET WEST BAUDETTE, MN 56623	X President and CEO

Signatures

/s/ Arthur
Przybyl

03/05/2018

__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 was executed in multiple trades at prices ranging from \$60.00 to \$60.98. The price reported above reflects the weighted average sale price. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transaction was effected.

(2) This transaction was executed in multiple trades at prices ranging from \$61.00 to \$61.99. The price reported above reflects the weighted average sale price. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transaction was effected.

(3) This transaction was executed in multiple trades at prices ranging from \$62.00 to \$62.525. The price reported above reflects the weighted average sale price. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transaction was effected.

(4) The options vest and become exercisable in equal annual amounts over a four-year period beginning on the first anniversary of the grant date. The grant date was April 7, 2016.

(5) The options vested and become exercisable in equal annual amounts over a four-year period beginning on the first anniversary of the grant date. The grant date was April 1, 2014.

(6) The options vested and become exercisable in equal annual amounts over a four-year period beginning on the first anniversary of the grant date. The grant date was July 12, 2013.

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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