Catalent, Inc. Form 3 September 12, 2016

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

OMB Number:

3235-0104

Expires:

response...

January 31, 2005

0.5

Estimated average burden hours per

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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

SECURITIES

30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person * Statement Catalent, Inc. [CTLT] **Â** Dolan Christine (Month/Day/Year) 09/08/2016 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) C/O CATALENT, INC., 14 (Check all applicable) SCHOOLHOUSE ROAD (Street) 6. Individual or Joint/Group 10% Owner Director _X__ Officer Other Filing(Check Applicable Line) (give title below) (specify below) _X_ Form filed by One Reporting See Remarks Person SOMERSET, ÂNJÂ 08873 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 1. Title of Security 2. Amount of Securities 4. Nature of Indirect Beneficial Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Â 5,737 (1) Common Stock D Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) owned directly or indirectly. Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a

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

currently valid OMB control number.

1. Title of Derivative Security 2. Date Exercisable and 3. Title and Amount of 6. Nature of Indirect (Instr. 4) **Expiration Date** Securities Underlying Conversion Ownership Beneficial Ownership (Month/Day/Year) **Derivative Security** or Exercise Form of (Instr. 5) (Instr. 4) Price of Derivative Derivative Security: Title Direct (D) Security

Edgar Filing: Catalent, Inc. - Form 3

	Date Exercisable	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Common Stock	(2)	05/25/2022	Common Stock	26,250	\$ 18.57	D	Â
Common Stock	(3)	05/25/2022	Common Stock	5,250	\$ 18.57	D	Â
Common Stock	(4)	07/30/2024	Common Stock	11,122	\$ 20.5	D	Â
Common Stock	(5)	08/27/2025	Common Stock	6,777	\$ 31.96	D	Â
Common Stock	(6)	08/26/2026	Common Stock	10,199	\$ 24.44	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships					
F-G - ····· ·······	Director	10% Owner	Officer	Other		
Dolan Christine						
C/O CATALENT, INC. 14 SCHOOLHOUSE ROAD	Â	Â	See Remarks	Â		
SOMERSET, Â NJÂ 08873						

Signatures

Christine Caputo, by power of attorney

09/12/2016

**Signature of Reporting Person

Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, see Instruction 5(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) Includes restricted stock units.
- (2) On May 25, 2012, the reporting person was granted options to purchase 26,250 shares of common stock of the Issuer which vest and become exercisable in five equal annual installments beginning on May 25, 2013.
- On May 25, 2012 the reporting person was granted options to purchase 8,750 shares of common stock of the Issuer which vest and become exercisable in five equal annual installments based on satisfaction of certain performance criteria for each of the fiscal years ending 2013, 2014, 2015, 2016 and 2017. The performance criteria for 2013, 2014 and 2015 were met, resulting in vesting of the option as to 5,250 shares in the aggregate.
- (4) On July 30, 2014, the reporting person was granted options to purchase 11,122 shares of common stock of the Issuer which vest and become exercisable in four equal annual installments beginning on July 30, 2015.
- On August 27, 2015, the reporting person was granted options to purchase 6,777 shares of common stock of the Issuer which vest and become exercisable in four equal annual installments beginning on August 27, 2016.
- (6) On July 26, 2016, the reporting person was granted options to purchase 10,199 shares of common stock of the Issuer which vest and become exercisable in four equal annual installments beginning July 26, 2017.

Â

Remarks:

Reporting Owners 2

Edgar Filing: Catalent, Inc. - Form 3

Senior Vice President - Product Development

Note: File three copies of this Form, one of which must be manually signed. If space 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. ame="#*">*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 sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on February 27, 2015.(2)The shares underlying the option were 100% vested upon the date of grant.

Note: File three copies of this Form, one of which must be manually signed. If space 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.