

ALTOMARI ALFRED

Form 4

January 26, 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 \*  
 ALTOMARI ALFRED

2. Issuer Name **and** Ticker or Trading  
 Symbol  
 AGILE THERAPEUTICS INC  
 [AGRX]

5. Relationship of Reporting Person(s) to  
 Issuer

(Check all applicable)

(Last) (First) (Middle)  
 101 POOR FARM ROAD  
 (Street)

3. Date of Earliest Transaction  
 (Month/Day/Year)  
 01/24/2018

☒ Director ☐ 10% Owner  
☒ Officer (give title below) ☐ Other (specify below)  
 Chief Executive Officer

PRINCETON, NJ 08540

6. Individual or Joint/Group Filing(Check  
 Applicable Line)  
☒ 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<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|----------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-------------------------------------------------------------------|
|                                       |                                         |                                                             | Code                                 | V                                                                          | Amount                                                                                                             | (D)                                                                  | Price                                                             |

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

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 information contained in this form are not  
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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<br>Derivative<br>Security | 2. Conversion<br>or Exercise | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any | 4. Transaction<br>Code | 5. Number of<br>Derivative<br>Securities | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) |
|---------------------------------------|------------------------------|-----------------------------------------|-----------------------------------------|------------------------|------------------------------------------|----------------------------------------------------------------|---------------------------------------------------------------------|
|---------------------------------------|------------------------------|-----------------------------------------|-----------------------------------------|------------------------|------------------------------------------|----------------------------------------------------------------|---------------------------------------------------------------------|

## Edgar Filing: ALTOMARI ALFRED - Form 4

| (Instr. 3)                                       | Price of<br>Derivative<br>Security | (Month/Day/Year) | (Instr. 8) | Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4, and<br>5) |         | Date<br>Exercisable | Expiration<br>Date | Title      | Amount<br>Number<br>Shares |         |
|--------------------------------------------------|------------------------------------|------------------|------------|---------------------------------------------------------------|---------|---------------------|--------------------|------------|----------------------------|---------|
|                                                  |                                    |                  | Code       | V                                                             | (A)     | (D)                 |                    |            |                            |         |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy) | \$ 3.46                            | 01/24/2018       | A          |                                                               | 256,000 |                     | <u>(1)</u>         | 01/23/2028 | Common<br>Stock            | 256,000 |
| Restricted<br>Stock<br>Units                     | <u>(2)</u>                         | 01/24/2018       | A          |                                                               | 35,314  |                     | <u>(3)</u>         | <u>(3)</u> | Common<br>Stock            | 35,314  |

## Reporting Owners

| Reporting Owner Name / Address                               | Relationships |           |                         |       |
|--------------------------------------------------------------|---------------|-----------|-------------------------|-------|
|                                                              | Director      | 10% Owner | Officer                 | Other |
| ALTOMARI ALFRED<br>101 POOR FARM ROAD<br>PRINCETON, NJ 08540 | X             |           | Chief Executive Officer |       |

## Signatures

/s/ Scott M. Coiante,  
Attorney-in-Fact

**\*\*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).

This option was granted on January 24, 2018. 25% of the shares subject to the stock option vest on January 24, 2019, and the remaining

- (1) shares vest in 36 substantially equal monthly installments over the following three years such that the option will be fully vested on January 24, 2022

- (2)** Each restricted stock unit represents a contingent right to receive one share of common stock.

- (3) The restricted stock units were granted on January 24, 2018 and will be fully vested and delivered on January 24, 2019.

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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