

PRZYBYL ARTHUR

Form 4

March 20, 2019

**FORM 4****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).

**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

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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
PRZYBYL ARTHUR

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

(Last) (First) (Middle)  
C/O ANI PHARMACEUTICALS,  
INC., 210 MAIN STREET WEST

3. Date of Earliest Transaction  
(Month/Day/Year)  
03/18/2018

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

(Street)  
BAUDETTE, MN 56623

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

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 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	03/18/2019		S		24,802	D	\$ 63.53 (1)	205,076 (1)	D	
Common Stock	03/19/2019		S		2,823	D	\$ 63.51 (2)	205,076 (2)	D	

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

**Persons who respond to the collection of  
information contained in this form are not  
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SEC 1474  
(9-02)

number.

**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. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Options	\$ 33	03/18/2019		M		6,375		<u>(3)</u>	03/31/2024	Common Stock	6,375
Stock Options	\$ 40.59	03/18/2019		M		9,375		<u>(4)</u>	04/06/2026	Common Stock	9,375
Stock Options	\$ 49.51	03/18/2019		M		9,052		<u>(5)</u>	03/30/2027	Common Stock	9,052
Stock Options	\$ 49.51	03/19/2019		M		2,823		<u>(5)</u>	03/30/2027	Common Stock	2,823

## 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

03/20/2019

\_\_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) The shares were sold in multiple trades at prices ranging from \$63.49 to \$64.06. The price reported above reflects the weighted average sales 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. The reporting person owns 205,076

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shares of the Issuer's common stock following the transaction, which is the same number of shares reported on his most recent prior filing.

The shares were sold in multiple trades at prices ranging from \$63.49 to \$63.60. The price reported above reflects the weighted average sales price. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer

- (2) full information regarding the number of shares and prices at which the transaction was effected. The reporting person owns 205,076 shares of the Issuer's common stock following the transaction, which is the same number of shares reported on his most recent prior filing.
- (3) Option vests and are exercisable over a four year period beginning on the first anniversary of April 1, 2014.
- (4) Option vests and are exercisable over a four year period beginning on the first anniversary of April 7, 2016.
- (5) Option vests and are exercisable over a four year period beginning on the first anniversary of March 31, 2017.

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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