

BOCK LOUIS C
Form 3
July 28, 2011

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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 *

Â BOCK LOUIS C

(Last) (First) (Middle)

C/O SCALE VENTURE
MANAGEMENT II, LLC,Â 950
TOWER LN., SUITE 700

(Street)

FOSTER CITY,Â CAÂ 94404

(City) (State) (Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

07/28/2011

3. Issuer Name **and** Ticker or Trading Symbol
HORIZON PHARMA, INC. [HZNP]

4. Relationship of Reporting
Person(s) to Issuer

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

(Check all applicable)

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

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 Beneficially Owned

1. Title of Security
(Instr. 4)

2. Amount of Securities
Beneficially Owned
(Instr. 4)

3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)

4. Nature of Indirect Beneficial
Ownership
(Instr. 5)

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

SEC 1473 (7-02)

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information contained in this form are not
required to respond unless the form displays a
currently valid OMB control number.**

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

1. Title of Derivative
Security
(Instr. 4)

2. Date Exercisable and
Expiration Date
(Month/Day/Year)

3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)

4. Conversion
or Exercise
Price of
Derivative
Security

5. Ownership
Form of
Derivative
Security:
Direct (D)

6. Nature of
Indirect Beneficial
Ownership
(Instr. 5)

Date
Exercisable

Expiration Date

Title

Amount or
Number of

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				Shares		or Indirect (I) (Instr. 5)	
Series A Preferred Stock	Â (1)	Â (1)	Common Stock	1,370,070	\$ (1)	I	See Footnote (2)
Series B Preferred Stock	Â (1)	Â (1)	Common Stock	171,626	\$ (1)	I	See Footnote (2)
Convertible Promissory Note	Â (3)	Â (3)	Common Stock	3,117,469.92 (3)	\$ (3)	I	See Footnote (2)
Warrant to Purchase Series A Preferred Stock	Â (4)	10/31/2015(4)	Series A Preferred Stock	69,451	\$ 5.201	I	See Footnote (2)
Warrant to Purchase Series A Preferred Stock	Â (4)	07/02/2016(4)	Series A Preferred Stock	34,726	\$ 5.201	I	See Footnote (2)
Warrant to Purchase Series A Preferred Stock	Â (4)	09/25/2016(4)	Series A Preferred Stock	43,409	\$ 5.201	I	See Footnote (2)

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BOCK LOUIS C C/O SCALE VENTURE MANAGEMENT II, LLC 950 TOWER LN., SUITE 700 FOSTER CITY, CA 94404	Â X	Â	Â	Â

Signatures

/s/ Louis C.
Bock

07/28/2011

__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).
- The shares of Series A Preferred Stock and Series B Preferred Stock have no expiration date and are convertible at any time at the election of the holder. Every 2.374 shares of preferred stock will automatically convert into one share of common stock upon the closing of the Issuer's initial public offering.
- Held of record by Scale Venture Partners II, LP ("Scale Partners"). The General Partner of Scale Partners is Scale Venture Management II, LLC ("Scale Management"). The Reporting Person is a member of Scale Management. The Reporting Person disclaims beneficial ownership with respect to these securities, except to the extent of his pecuniary interest therein.
- Principal and accrued interest will convert upon the Issuer's initial public offering into shares of Common Stock at a conversion price equal to the lesser of (i) the public offering price of the Common Stock sold in the Issuer's initial public offering, or (ii) \$18.92. Amounts shown are reported in US dollars and include interest accrued through the date hereof; additional interest will accrue prior to conversion.

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- (4) The warrants are immediately exercisable and shall terminate on the earlier of the expiration date referenced above or the occurrence of other specified corporate transactions.

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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