

FRATES JAMES M  
Form 4  
June 13, 2018

**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

OMB  
Number: 3235-0287  
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2005  
Estimated average  
burden hours per  
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
FRATES JAMES M

(Last) (First) (Middle)

CONNAUGHT HOUSE, 1  
BURLINGTON ROAD

(Street)

DUBLIN 4 Ireland

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol  
Alkermes plc. [ALKS]

3. Date of Earliest Transaction  
(Month/Day/Year)  
06/12/2018

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_\_X\_\_ Officer (give title \_\_\_\_ Other (specify  
below) below)

SVP, Alks Inc; CFO ALKS

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
\_\_X\_\_ 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<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 Acquired (A)<br>or 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:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|---|---|--------------------------------------|---|--|---|---|
| Ordinary<br>Shares                    | 06/12/2018                              |   | S <sup>(1)</sup>                     | 16,842  | D  | \$<br>50.0047<br><sup>(2)</sup>   | 37,234 <sup>(3)</sup> <sup>(4)</sup> D                            |
| Ordinary<br>Shares                    |   |   |                                      |   |  | 4,000   | I By Sons   |
| Ordinary<br>Shares                    |   |   |                                      |   |  | 17,204  | I By 2014<br>GRAT <sup>(5)</sup>                                  |
| Ordinary<br>Shares                    |   |   |                                      |   |  | 80,000  | I By 2018<br>GRAT<br>No. 1 <sup>(6)</sup>                         |
|                                       |   |   |                                      |   |  | 45,000  | I   |

Ordinary  
Shares

By 2018  
GRAT  
No. 2 <sup>(7)</sup>

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 required to respond unless the form displays a currently valid OMB control number.**

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<br>(Instr. 3) | 2. Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4. Transaction<br>Code<br>(Instr. 8) | 5. Number<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and<br>Amount of<br>Underlying<br>Securities<br>(Instr. 3 and 4) | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Nu<br>Deriv<br>Secur<br>Bene<br>Own<br>Follo<br>Repor<br>Trans<br>(Instr |
|---|--|---|---|--------------------------------------|--|--|---|---|---|
|   |  |   |   | Code                                 | V (A) (D)  | Date<br>Exercisable  | Expiration<br>Date  | Title   | Amount<br>or<br>Number<br>of<br>Shares                                      |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships                    |
|--|----------------------------------|
|  | Director 10% Owner Officer Other |
| FRATES JAMES M<br>CONNAUGHT HOUSE<br>1 BURLINGTON ROAD<br>DUBLIN 4 Ireland | SVP, Alks Inc; CFO ALKS          |

## Signatures

/s/ Jennifer Baptiste, attorney-in-fact for James M.  
Frates

06/13/2018

\_\_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 sale was effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on 3/6/18.

(2) The price reported in Column 4 is a weighted average price. The shares were sold in multiple transactions at prices ranging from \$50.00 to \$50.14. Full information regarding the number of shares sold at each separate price can be furnished to the SEC staff upon request.

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- Includes 14,736 shares received on May 1, 2018 pursuant to an annuity payment from the James M. Frates Grantor Retained Annuity Trust dated March 14, 2014 (the "2014 GRAT"), which was exempt from reporting obligations by virtue of Rule 16a-13 promulgated under the Securities Exchange Act of 1934, as amended.
- (3)

- Excludes 45,000 shares previously owned directly which were contributed to the James M. Frates 2018 Grantor Retained Annuity Trust No. 2 dated May 25, 2018 (the "2018 GRAT No. 2") on May 29, 2018, which was exempt from reporting obligations by virtue of Rule 16a-13 promulgated under the Securities Exchange Act of 1934, as amended.
- (4)

- Shares held by the 2014 GRAT. The Reporting Person is a trustee and beneficiary of the 2014 GRAT and may be deemed to hold voting and dispositive power with regard to the reported shares held by the 2014 GRAT.
- (5)

- Shares held by the James M. Frates 2018 Grantor Retained Annuity Trust No. 1 dated February 22, 2018 (the "2018 GRAT No. 1"). The Reporting Person is a trustee and beneficiary of the 2018 GRAT No. 1 and may be deemed to hold voting and dispositive power with regard to the reported shares held by the 2018 GRAT No. 1.
- (6)

- Shares held by the 2018 GRAT No. 2. The Reporting Person is a trustee and beneficiary of the 2018 GRAT No. 2 and may be deemed to hold voting and dispositive power with regard to the reported shares held by the 2018 GRAT No. 2.
- (7)

### Remarks:

EXHIBIT LIST: Exhibit 24.1 - Power of Attorney

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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