Edgar Filing: ANI PHARMACEUTICALS INC - Form 4

| FORM 4 OMB APPROVAL UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 OMB Number: 3235-028 Check this box if no longer subject to Section 16. STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES Expires: January 31 200 | ANI PHARMACEUTICA Form 4 April 04, 2014 | ALS INC | | | | | | | |
|---|--|---|---|--|--|--|---|--|--|
| | CORNUA 4UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549OMB Number:3235-0287Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See InstructionSTATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIESOMB Number:3235-0287Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations may continue. See InstructionFiled pursuant to Section 16(a) of the Securities Exchange Act of 1935, or Section 30(h) of the Investment Company Act of 1940OMB Number:3235-0287Sumber: Lanuary 31 2005Statement Company Act of 1935, or Section 1940Statement Company Act of 1940Statement Company Act of 1940 | | | | | | | | |
| Arnold Charlotte C. Symbol Issuer ANI PHARMACEUTICALS INC (Charle all arrliaghle) | 1. Name and Address of Repo | Symbol | | C C | Issuer | | | | |
| (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) (Check all applicable) C/O ANI PHARMACEUTICALS, INC., 210 MAIN STREET WEST 04/01/2014 04/01/2014 Uice President and CFO | (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) C/O ANI PHARMACEUTICALS, 04/01/2014 | | | | Director 10% Owner X Officer (give title Other (specify below) below) | | | | |
| (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) 6. Individual or Joint/Group Filing(Check Applicable Line) _X_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 | | (7 :) | ble I - Non-Deri | vative Securities A | | of or Beneficia | ally Owned | | |
| 1.Title of Security (Instr. 3)2. Transaction Date (Month/Day/Year)2A. Deemed Execution Date, if any (Month/Day/Year)3.4. Securities TransactionAcquired (A) or Disposed of (D)5. Amount of Securities6. Ownership Form: Direct7. Nature of Indirect0. Word (Month/Day/Year)0. Word (Month/Day/Year)0. Word (Instr. 8)0. Word (Instr. 3, 4 and 5)0. Word (I)0. Wordship (Instr. 4)7. Nature of Indirect0. Word (Month/Day/Year)0. Word (Instr. 8)0. Word (Instr. 3, 4 and 5)0. Word (I)0. Wordship (Instr. 4)0. Wordship (Instr. 4)0. Word (A) or (Instr. 3 and 4)0. Word (Instr. 3 and 4)0. Wordship (Instr. 3 and 4)0. Wordship (Instr. 3 and 4) | Security (Month/Day/Ye | Date 2A. Deemed ear) Execution Date, if any | 3. 4.8 TransactionAc Code Dis (Instr. 8) (In | Securities quired (A) or sposed of (D) str. 3, 4 and 5) (A) or | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) | 6. Ownership Form: Direct (D) or Indirect (I) | 7. Nature of Indirect Beneficial Ownership | | |
| 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 SEC 1474 (9-02) | Reminder: Report on a separat | | | Persons who res information cont required to respo displays a currer number. | pond to the colle ained in this form and unless the fo atly valid OMB co | n are not rm ntrol | | | |

| 1. Title of | 2. | 3. Transaction Date | 3A. Deemed | 4. | 5. Number of | 6. Date Exercisable and | 7. Title and Amount of | 8 |
|-------------|------------|---------------------|--------------------|-----------|--------------|-------------------------|------------------------|---|
| Derivative | Conversion | (Month/Day/Year) | Execution Date, if | Transacti | orDerivative | Expiration Date | Underlying Securities |] |

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| Security (Instr. 3) | or Exercise Price of Derivative Security | | any (Month/Day/Year) | Code (Instr. 8) | Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | /Year) | (Instr. 3 and | 4) |
|------------------------|---|------------|-------------------------|--------------------|--|-----------------------|--------------------|-----------------|-------------------------------------|
| | | | | Code V | (A) (E |) Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Option to Purchase | \$ 33 | 04/01/2014 | | А | 12,000 | <u>(1)</u> | 03/31/2024 | Common Stock | 12,000 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | |
|--|---------------|-----------|------------------------|-------|--|--|
| | Director | 10% Owner | Officer | Other | | |
| Arnold Charlotte C. C/O ANI PHARMACEUTICALS, INC. 210 MAIN STREET WEST BAUDETTE, MN 56623 | | | Vice President and CFO | | | |
| Signatures | | | | | | |
| /s/ Jane A Meyer as attorney | | | | | | |

in fact

<u>**</u>Signature of Reporting Person

04/04/2014 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) Options vest in equal annual installments on the first, second, third and fourth anniversaries of the grant date.

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.