## Edgar Filing: PUMA BIOTECHNOLOGY, INC. - Form 4

PUMA BIOTECHNOLOGY, INC. Form 4 September 10, 2015 OMB APPROVAL FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION OMB 3235-0287 Washington, D.C. 20549 Number: Check this box January 31, Expires: if no longer 2005 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF subject to Estimated average **SECURITIES** Section 16. burden hours per Form 4 or response... 0.5 Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading Senderowicz Adrian Issuer Symbol PUMA BIOTECHNOLOGY, INC. (Check all applicable) [PBYI] 3. Date of Earliest Transaction (Last) (First) (Middle) X\_ Director 10% Owner Officer (give title Other (specify (Month/Day/Year) below) below) C/O PUMA BIOTECHNOLOGY, 09/08/2015 INC., 10880 WILSHIRE BLVD., **SUITE 2150** (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting LOS ANGELES, CA 90024 Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities 5. Amount of 6. Ownership 7. Nature of Form: Direct Indirect Security (Month/Day/Year) Execution Date, if TransactionAcquired (A) or Securities (Instr. 3) Code Disposed of (D) Beneficially (D) or Indirect Beneficial anv (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned (I) Ownership Following (Instr. 4) (Instr. 4) Reported (A) Transaction(s) or (Instr. 3 and 4) Code V Amount (D) Price 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.

 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.<br>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.<br>Transactio<br>Code<br>(Instr. 8) | 5. Number of<br>orDerivative<br>Securities<br>Acquired (A)<br>or Disposed of<br>(D)<br>(Instr. 3, 4,<br>and 5) | 6. Date Exer<br>Expiration D<br>(Month/Day/ | ate                | 7. Title and Am<br>Underlying Sec<br>(Instr. 3 and 4) |                                     |
|---|---|---|---|--|--|---|--------------------|---|-------------------------------------|
|   |   |   |   | Code V                                 | (A) (D)  | Date<br>Exercisable                         | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of Shares |
| STOCK<br>OPTION<br>(RIGHT<br>TO<br>BUY)             | \$ 95.22  | 09/08/2015                              |   | A                                      | 10,000   | <u>(1)</u>                                  | 09/07/2025         | COMMON<br>STOCK                                       | 10,000                              |

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## **Reporting Owners**

| Reporting Owner Name / Address  | Relationships |           |         |       |  |  |
|---|---------------|-----------|---------|-------|--|--|
|   | Director      | 10% Owner | Officer | Other |  |  |
| Senderowicz Adrian<br>C/O PUMA BIOTECHNOLOGY, INC.<br>10880 WILSHIRE BLVD., SUITE 2150<br>LOS ANGELES, CA 90024 | Х             |           |         |       |  |  |
| Signatures  |               |           |         |       |  |  |
| /s/ Adrian  |               |           |         |       |  |  |

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

Senderowicz

## **Explanation of Responses:**

\* If the form is filed by more than one reporting person, see Instruction 4(b)(v).

09/10/2015

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

The vesting commencement date ("VCD") of the option is September 8, 2015. The option vests (i) with respect to one-third (1/3rd) of the shares subject thereto on the first anniversary of the VCD and (ii) with respect to an additional 1/36th of the shares subject thereto on each

(1) shares subject mereto on the first anniversary of the VCD and (n) with respect to an additional 750th of the shares subject mereto on each monthly anniversary of the VCD thereafter, subject to the Reporting Person's continued service on the Compensation Committee of the Board of Directors of the Issuer through each vesting 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.