

ARROWHEAD RESEARCH CORP

Form 3

January 06, 2014

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated average
burden hours per
response... 0.5**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 Lewis David L.

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

01/03/2014

3. Issuer Name **and** Ticker or Trading Symbol

ARROWHEAD RESEARCH CORP [ARWR]

4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

(Check all applicable)

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

Chief Scientific Officer

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting
Person☐ Form filed by More than One
Reporting PersonARROWHEAD RESEARCH
CORPORATION,Â 225 S.
LAKE AVENUE, SUITE 1050

(Street)

PASADENA,Â CAÂ 91101

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. 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)

**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 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)Date Exercisable Expiration
Date3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)Title Amount or
Number of4. Conversion
or Exercise
Price of
Derivative
Security5. Ownership
Form of
Derivative
Security:
Direct (D)6. Nature of
Indirect Beneficial
Ownership
(Instr. 5)

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				Shares		or Indirect (I) (Instr. 5)	
Stock Option dated 10/21/2011	04/21/2012 ⁽¹⁾	10/21/2021	Common Stock	27,500	\$ 4.6	D	Â
Stock Option dated 02/16/2012	03/01/2012 ⁽²⁾	02/16/2022	Common Stock	27,000	\$ 5.19	D	Â
Stock Option dated 09/28/2012	10/01/2012 ⁽²⁾	09/28/2022	Common Stock	25,000	\$ 2.62	D	Â
Stock Option dated 05/06/2013	06/01/2013 ⁽²⁾	05/06/2023	Common Stock	105,000	\$ 2.01	D	Â
Stock Option dated 09/21/2013	10/01/2013 ⁽²⁾	09/21/2023	Common Stock	28,000	\$ 4.75	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Lewis David L. ARROWHEAD RESEARCH CORPORATION 225 S. LAKE AVENUE, SUITE 1050 PASADENA, CA 91101	Â	Â	Â Chief Scientific Officer	Â

Signatures

David L. Lewis 01/03/2014

Signature of Date
Reporting Person

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).

(1) Vests 1/8 on six month cliff and balance equally over 42 months

(2) Vests in 48 equal monthly installments

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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