Amphastar Pharmaceuticals, Inc.

Form 4

March 21, 2016

# 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

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

2. Issuer Name and Ticker or Trading

Amphastar Pharmaceuticals, Inc.

Symbol

[AMPH]

(Month/Day/Year)

03/17/2016

may continue. See Instruction

1(b).

(Last)

(Print or Type Responses)

1. Name and Address of Reporting Person \*

Zhang Jack Y.

(First) (Middle)

C/O AMPHASTAR PHARMACEUTICALS,

INC., 11570 6TH STREET

(Street)

(State)

4. If Amendment, Date Original

3. Date of Earliest Transaction

Filed(Month/Day/Year)

below)

Applicable Line) Form filed by One Reporting Person \_X\_ Form filed by More than One Reporting Person

(D) or

Indirect (I)

(Instr. 4)

**RANCHO** CUCAMONGA, CA 91730

(City)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3)

(Zip)

(Month/Day/Year)

4. Securities Acquired Transaction(A) or Disposed of (D) (Instr. 3, 4 and 5) Code (Instr. 8)

Amount

184,466

79,435

(1)

(1)

Securities Beneficially Owned Following Reported Transaction(s)

1,129,902

5. Amount of

(Instr. 3 and 4)

Common 03/17/2016 Stock

03/17/2016

Α

A

Code V

\$0

(A)

or

(D)

Price

\$0

767,666

I

I

D

(2) See footnote

(3)

footnote

See

Common Stock

Common

Stock

5,000

7,461,594

I

#### **OMB APPROVAL**

OMB 3235-0287 Number:

January 31, Expires: 2005 Estimated average

0.5

burden hours per response...

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

\_X\_\_ Director

X\_\_ 10% Owner X\_ Officer (give title Other (specify

CEO & Chief Science Officer

6. Individual or Joint/Group Filing(Check

6. Ownership 7. Nature of

Beneficial

Ownership

(Instr. 4)

Form: Direct Indirect

#### Edgar Filing: Amphastar Pharmaceuticals, Inc. - Form 4

| Common<br>Stock |         |   | See footnote (4) |
|-----------------|---------|---|------------------|
| Common<br>Stock | 200,000 | I | See footnote (5) |

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)

 $\label{thm:convergence} \begin{tabular}{ll} Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned \\ (e.g., puts, calls, warrants, options, convertible securities) \end{tabular}$ 

| 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>Transactic<br>Code<br>(Instr. 8) | 5. Number of or Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year)  7. Title and Amoun Underlying Securities (Instr. 3 and 4) |                    | Securities      |                      |
|---|---|---|---|--|--|---|--------------------|-----------------|----------------------|
|   |   |   |   | Code V                                 | (A) (D)  | Date<br>Exercisable   | Expiration<br>Date | Title           | Amount Number Shares |
| Employee<br>Stock<br>Option<br>(right to<br>buy)    | \$ 12.46  | 03/17/2016                              |   | A                                      | 722,046  | <u>(6)</u>  | 03/17/2024         | Common<br>Stock | 722,04               |
| Employee<br>Stock<br>Option<br>(right to<br>buy)    | \$ 12.46  | 03/17/2016                              |   | A                                      | 310,930  | <u>(6)</u>  | 03/17/2024         | Common<br>Stock | 310,93               |

# **Reporting Owners**

| Reporting Owner Name / Address   | Relationships |           |                                |       |  |
|--|---------------|-----------|--------------------------------|-------|--|
|  | Director      | 10% Owner | Officer                        | Other |  |
| Zhang Jack Y.<br>C/O AMPHASTAR PHARMACEUTICALS, INC.<br>11570 6TH STREET<br>RANCHO CUCAMONGA, CA 91730 | X             | X         | CEO & Chief Science Officer    |       |  |
| Luo Mary Z. C/O AMPHASTAR PHARMACEUTICALS, INC.  | X             |           | COO, Chief Scientist, Chairman |       |  |

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11570 6TH STREET RANCHO CUCAMONGA, CA 91730

## **Signatures**

/s/ Ken Stupak, by power of attorney for Jack Y.
Zhang
03/21/2016

\*\*Signature of Reporting Person Date

/s/ Ken Stupak, by power of attorney for Mary Z.
Luo
03/21/2016

\*\*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) The reported shares are represented by deferred stock units, or DSUs, which vest in three equal annual installments beginning on March 17, 2017.
- (2) The securities are held of record by Mary Z. Luo. The reporting persons are husband and wife.
- (3) The securities are held of record by APCL, of which the reporting persons are the sole owners.
- The shares are held of record in an account for the benefit of the reporting persons' son. The reporting persons disclaim beneficial (4) ownership of these shares, and the inclusion of these shares in this report should not be deemed an admission of beneficial ownership.
- (4) ownership of these shares, and the inclusion of these shares in this report should not be deemed an admission of beneficial ownership of any such shares for purposes of Section 16, or for any other purpose.
  - The shares are held of record by a trust for the benefit of the reporting persons' son. The reporting persons disclaim beneficial ownership
- (5) of these shares, and the inclusion of these shares in this report should not be deemed an admission of beneficial ownership of any such shares for purposes of Section 16, or for any other purpose.
- (6) Shares subject to the option vest in three equal annual installments beginning on March 17, 2017.

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.

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