

GIVEN DOUGLAS B  
Form 4  
February 26, 2019

**FORM 4**

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
GIVEN DOUGLAS B

(Last) (First) (Middle)

225 S. LAKE AVENUE, SUITE 1050

(Street)

PASADENA, CA 91101

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
ARROWHEAD PHARMACEUTICALS, INC. [ARWR]

3. Date of Earliest Transaction (Month/Day/Year)  
02/22/2019

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

6. Individual or Joint/Group Filing(Check Applicable Line)  
 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 Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Ownership (Instr. 4)	
				(A) or (D)	Price			
				Code	V	Amount		
Common Stock	02/22/2019		S <sup>(1)</sup>	3,000	D	\$ 18.05	175,130	D
						<u>(2)</u>		
Common Stock	02/26/2019		M	30,000	A	\$ 5.19	205,130	D
Common Stock	02/26/2019		M	18,000	A	\$ 2.19	223,130	D
Common Stock	02/26/2019		M	10,000	A	\$ 2.62	233,130	D

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Common Stock	02/26/2019		M	7,000	A	\$ 4.75	240,130	D
Common Stock	02/26/2019		S	65,000	D	\$ 19.25 <u>(3)</u>	175,130	D

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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(9-02)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of 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 Amount of Underlying Securities (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Stock Option (right to buy)	\$ 5.19	02/26/2019		M	30,000	02/16/2013 <sup>(4)</sup> 02/16/2022	Common Stock 30,000
Stock Option (right to buy)	\$ 2.19	02/26/2019		M	18,000	03/21/2014 <sup>(4)</sup> 03/21/2023	Common Stock 18,000
Stock Option (right to buy)	\$ 2.62	02/26/2019		M	10,000	09/28/2013 <sup>(4)</sup> 09/28/2022	Common Stock 10,000
Stock Option (right to buy)	\$ 4.75	02/26/2019		M	7,000	09/21/2014 <sup>(4)</sup> 09/21/2023	Common Stock 7,000

## Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

GIVEN DOUGLAS B  
225 S. LAKE AVENUE  
SUITE 1050  
PASADENA, CA 91101

X

## Signatures

/s/ Douglass  
Given

02/26/2019

\_\_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) Open market sale pursuant to a 10b5-1 trading plan adopted by the Reporting Person in accordance with Rule 10b5-1 of the Securities Exchange Act of 1934, as amended.

The price reported on Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$17.92 to \$18.18, inclusive. The reporting person undertakes to provide to Arrowhead Pharmaceuticals, Inc., any security holder of

- (2) Arrowhead Pharmaceuticals, Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in this footnote of this Form 4.

The price reported on Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$19.25 to \$19.30, inclusive. The reporting person undertakes to provide to Arrowhead Pharmaceuticals, Inc., any security holder of

- (3) Arrowhead Pharmaceuticals, Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in this footnote of this Form 4.

- (4) Options fully vested on the 1 year anniversary 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.

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