

ALDER BIOPHARMACEUTICALS INC

Form 4

January 09, 2017

**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  
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

## OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Litton Mark James

2. Issuer Name **and** Ticker or Trading  
Symbol  
ALDER BIOPHARMACEUTICALS  
INC [ALDR]

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

(Last) (First) (Middle)  
11804 NORTH CREEK PARKWAY  
SOUTH

3. Date of Earliest Transaction  
(Month/Day/Year)  
01/05/2017

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_\_\_\_X\_\_\_\_ Officer (give title \_\_\_\_ Other (specify  
below) below)  
Chief Business Officer

(Street)  
BOTHELL, WA 98011

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**

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 Beneficial Ownership (Instr. 4)
Common Stock	01/05/2017		M	Amount <u>2,216</u> (1)	(A) or (D) A \$ 1.265 102,148 (2)	D	
Common Stock	01/05/2017		S	Amount <u>2,216</u> (3)	\$ 23.0019 (4) 99,932	D	
Common Stock	01/06/2017		M	Amount <u>5,474</u> (1)	A \$ 1.265 105,406	D	
Common Stock	01/06/2017		M	Amount <u>1,326</u> (1)	A \$ 1.65 106,732	D	
	01/06/2017		S		D 99,932	D	

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Common Stock				6,800 <u>(3)</u>		\$ <u>(5)</u> 23.0176		
Common Stock	01/09/2017		M	500 <u>(1)</u>	D	\$ 1.65	100,432	D
Common Stock	01/09/2017		S	500 <u>(3)</u>	D	\$ 23	99,932	D
Common Stock							26,000	I
								Held in trust for the benefit of Reporting Person's minor child
Common Stock							26,000	I
								Held in trust for the benefit of Reporting Person's minor child
Common Stock							26,000	I
								Held in trust for the benefit of Reporting Person's minor child

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**  
(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,	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. I
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and 5)

			Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option (Right to Buy)	\$ 1.265	01/05/2017	M				(6)	11/13/2017	Common Stock	2,216
Stock Option (Right to Buy)	\$ 1.265	01/06/2017	M				(6)	11/13/2017	Common Stock	5,474
Stock Option (Right to Buy)	\$ 1.65	01/06/2017	M				(6)	07/22/2018	Common Stock	1,326
Stock Option (Right to Buy)	\$ 1.65	01/09/2017	M				(6)	07/22/2018	Common Stock	500

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Litton Mark James 11804 NORTH CREEK PARKWAY SOUTH BOTHELL, WA 98011			Chief Business Officer	

## Signatures

/s/ Mark J.  
Litton

01/09/2017

\*\*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 exercise of options reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person on November 4, 2016.
- (2) Includes 365 shares acquired under the Issuer's 2014 Employee Stock Purchase Plan on November 30, 2016.
- (3) The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person on November 4, 2016.
- (4) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$23.00 to \$23.05, inclusive. The Reporting Person undertakes to provide to the Issuer, any security holder of the Issuer, or the staff of the

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Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote 4 to this Form 4.

The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$23.00 to \$23.15, inclusive. The Reporting Person undertakes to provide to the Issuer, any security holder of the Issuer, or the staff of the

- (5) Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote 5 to this Form 4.

- (6) The option is fully vested.

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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