

Emergent BioSolutions Inc.
Form 4
January 12, 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

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
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(Print or Type Responses)

1. Name and Address of Reporting Person *
Abdun-Nabi Daniel

(Last) (First) (Middle)

400 PROFESSIONAL DR, SUITE
400

(Street)

GAITHERSBURG, MD 20879

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
Emergent BioSolutions Inc. [EBS]

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

01/10/2017

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)

President and CEO

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 Beneficial Ownership (Instr. 4)
			Code	V	Amount (A) or (D)	Price	
Common Stock <u>(1)</u>	08/01/2016		J		1,979	A \$ 0	172,945 D
Common Stock <u>(2)</u>	08/01/2016		J		3,032	A \$ 0	175,977 D
Common Stock <u>(3)</u>	08/01/2016		J		3,419	A \$ 0	179,396 D
Common Stock	01/10/2017		M		38,006 <u>(4)</u>	A \$ 14.51	217,402 D
Common Stock	01/10/2017		S		28,240 <u>(4)</u>	D \$ 31.2782 <u>(5)</u>	189,162 D

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

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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, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Amount or Number of Shares
Stock Option (Right to buy) ⁽⁶⁾	\$ 14.51	08/01/2016		J	3,662	⁽⁸⁾ 03/08/2017	Common Stock	3,662
Stock Option (Right to buy) ⁽⁷⁾	\$ 14.51	01/10/2017		M	38,006	⁽⁸⁾ 03/08/2017	Common Stock	38,006

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Abdun-Nabi Daniel 400 PROFESSIONAL DR, SUITE 400 GAITHERSBURG, MD 20879	X		President and CEO	

Signatures

/s/ Eric Burt,
Attorney-in-fact

01/10/2017

__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).

In connection with the spin-off (the "Spin-off") of Aptevo Therapeutics Inc. from Emergent BioSolutions Inc. ("Emergent"), on August 1, 2016 the reporting person received a grant of restricted stock units as a result of an adjustment to an existing Emergent restricted stock unit grant held by the reporting person prior to the Spin-off. The restricted stock units vest in March 2017.

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- In connection with the spin-off on August 1, 2016 the reporting person received a grant of restricted stock units as a result of an
- (2) adjustment to an existing Emergent restricted stock unit grant held by the reporting person prior to the spin-off. The restricted stock units vest in March 2017 and March 2018.

- In connection with the spin-off the reporting person received a grant of restricted stock units as a result of an adjustment to an existing
- (3) Emergent restricted stock unit grant held by the reporting person prior to the spin-off. The restricted stock units vest in March 2017, March 2018 and March 2019.

- (4) The transactions reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by Mr. Abdun-Nabi.

- (5) The price reported is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$30.91 to \$32.26, inclusive.

- Represents options to purchase Emergent common stock awarded to the reporting person prior to the Spin-off . In connection with the
- (6) Spin-off, the number of shares and exercise price of the option was adjusted, to preserve the pre-Spin-off intrinsic value of the existing Emergent option award.

- (7) Consists of an option granted under the company's stock incentive plan as amended and restated prior to the Spin-off.

- (8) The option grant vests in three equal installments on the day prior to the first, second and third anniversary dates of the grant.

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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