Cawkwell Gail Form 3 December 14, 2018

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

**OMB APPROVAL** 

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

**SECURITIES** 

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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement INTERCEPT PHARMACEUTICALS, INC. [ICPT] Cawkwell Gail (Month/Day/Year) 12/04/2018 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) C/O INTERCEPT (Check all applicable) PHARMACEUTICALS, INC.. 10 HUDSON YARDS. 10% Owner Director FLOOR 37 \_X\_\_ Officer Other (give title below) (specify below) (Street) 6. Individual or Joint/Group SVP, Med Affairs, Safety & PV Filing(Check Applicable Line) \_X\_ Form filed by One Reporting NEW YORK, NYÂ 10001 Person Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 2. Amount of Securities 4. Nature of Indirect Beneficial 1. Title of Security Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (Instr. 5) Â Common Stock 15,025 (1) D Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) owned directly or indirectly. Persons who respond to the collection of information contained in this form are not

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

required to respond unless the form displays a

currently valid OMB control number.

3. Title and Amount of 1. Title of Derivative Security 6. Nature of Indirect 2. Date Exercisable and Securities Underlying (Instr. 4) **Expiration Date** Beneficial Ownership Conversion Ownership (Month/Day/Year) **Derivative Security** or Exercise Form of (Instr. 5)

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	Date Exercisable	Expiration Date	(Instr. 4) Title	Amount or Number of Shares	Price of Derivative Security	Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	
Option to Purchase Common Stock	(2)	02/12/2028	Common Stock	22,925	\$ 54.63	D	Â

# **Reporting Owners**

Reporting Owner Name / Address		Relationships				
•	Director	10% Owner	Officer	Other		
Cawkwell Gail C/O INTERCEPT PHARMACEUTICALS, INC. 10 HUDSON YARDS, FLOOR 37 NEW YORK Â NYÂ 10001	Â	Â	SVP, Med Affairs, Safety & PV	Â		

# **Signatures**

/s/ John C. Duncanson, as attorney-in-fact

12/14/2018

\*\*Signature of Reporting Person

Date

# **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).

Represents restricted stock units granted to the Reporting Person. Each restricted stock unit represents a contingent right to receive one share of the Issuer's Common Stock. 25% of the shares subject to the award shall vest on the one-year anniversary of the Vesting Commencement Date and 1/16th of the shares subject to the award shall vest on every subsequent three-month anniversary thereafter.

- The Vesting Commencement Date is February 12, 2018.
- 25% of the shares subject to the award shall vest and become exercisable on the one-year anniversary of the Vesting Commencement (2) Date and 1/48th of the shares subject to the award shall vest and become exercisable each month thereafter. The Vesting Commencement Date is February 12, 2018.

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#### **Remarks:**

Exhibit 24.1 - Power of Attorney

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.

Reporting Owners 2