Neos Therapeutics, Inc.

Form 3 July 22, 2015

## FORM 3

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

OMB APPROVAL

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INITIAL STATEMENT OF 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)

(City)

(State)

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement Neos Therapeutics, Inc. [NEOS] Garg Vipin K (Month/Day/Year) 07/22/2015 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) C/O NEOS THERAPEUTICS, (Check all applicable) INC., 2940 N. HIGHWAY 360 (Street) 6. Individual or Joint/Group 10% Owner \_X\_\_ Director \_X\_\_ Officer Other Filing(Check Applicable Line) (give title below) (specify below) \_X\_ Form filed by One Reporting Chief Executive Officer Person **GRAND** Form filed by More than One PRAIRIE. TXÂ 75050 Reporting Person

### Table I - Non-Derivative Securities Beneficially Owned

4. Nature of Indirect Beneficial 1. Title of Security 2. Amount of Securities Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 5) (Instr. 4) Form: Direct (D) or Indirect (I) (Instr. 5) Â Common Stock 142,049 (1) D

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

(Zip)

SEC 1473 (7-02)

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

1. Title of Derivative Security (Instr. 4)	urity Expiration Date	3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)	4. Conversion or Exercise Price of	Ownership Form of	6. Nature of Indirect Beneficial Ownership (Instr. 5)
		Title	Derivative Security		

### Edgar Filing: Neos Therapeutics, Inc. - Form 3

	Date Exercisable			Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Series C Preferred Stock	(2)	(2)	Common Stock	2,500	\$ <u>(2)</u>	D	Â
Stock Option (Right to Buy)	(3)	10/16/2023(2)	Common Stock	142,049	\$ 2.55 (2)	D	Â
Stock Option (Right to Buy)	(4)	08/28/2024	Common Stock	82,577	\$ 7.49	D	Â
Stock Option (Right to Buy)	(5)	02/19/2025	Common Stock	50,000	\$ 9.32	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships				
	Director	10% Owner	Officer	Other	
Garg Vipin K C/O NEOS THERAPEUTICS, INC. 2940 N. HIGHWAY 360 GRAND PRAIRIE, TX 75050	ÂX	Â	Chief Executive Officer	Â	

## **Signatures**

/s/ Benjamin Piper, attorney-in-fact 07/22/2015

\*\*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).
- (1) Shares of restricted common stock which vest in equal annual installments over a four-year period which began on October 16, 2013.
- The Series C preferred stock is convertible into common stock on an 2.4-for-1 basis into the number of shares of common stock as shown in column 3 at any time at the holder's election, and automatically upon the closing of the Issuer's initial public offering. The Series C preferred stock has no expiration date.
- (3) This stock option vests in equal annual installments over a four-year period which began on October 16, 2013.
- (4) This stock option vests in equal annual installments over a four-year period which began on August 28, 2015.
- (5) This stock option vests in equal annual installments over a four-year period which began on February 19, 2015.

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#### **Remarks:**

Exhibit List: 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.

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