Edgar Filing: ENANTA PHARMACEUTICALS INC - Form 3

ENANTA PHARMACEUTICALS INC

Form 3

February 03, 2014

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

OMB APPROVAL

OMB Number:

3235-0104

Expires:

January 31, 2005

0.5

Estimated average burden hours per

response...

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)

1. Name and Address of Reporting Person *

Ocain Tim

(Last)

(First)

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

Statement

(Month/Day/Year)

01/30/2014

ENANTA PHARMACEUTICALS INC [ENTA]

4. Relationship of Reporting

Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

C/O ENANTA

PHARMACEUTICALS, INC., Â 500 ARSENAL STREET

(Street)

10% Owner Director _X__ Officer Other

(Check all applicable)

(give title below) (specify below) Senior Vice President

6. Individual or Joint/Group

Filing(Check Applicable Line) _X_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

WATERTOWN, MAÂ 02472

(City) (State)

(Instr. 4)

1. Title of Security

(Zip)

(Middle)

2. Amount of Securities Beneficially Owned

(Instr. 4)

3. Ownership

Table I - Non-Derivative Securities Beneficially Owned

4. Nature of Indirect Beneficial

Ownership (Instr. 5) Form:

Direct (D) or Indirect (I)

(Instr. 5)

Reminder: Report on a separate line for each class of securities beneficially

owned directly or indirectly.

SEC 1473 (7-02)

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.

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

1. Title of Derivative Security (Instr. 4)

2. Date Exercisable and **Expiration Date**

(Month/Day/Year)

3. Title and Amount of Securities Underlying Derivative Security

4. Conversion or Exercise

5. Ownership Form of

6. Nature of Indirect Beneficial Ownership (Instr. 5)

(Instr. 4)

Expiration Exercisable Date

Title Amount or Number of Derivative Security

Price of

Security: Direct (D)

Derivative

Edgar Filing: ENANTA PHARMACEUTICALS INC - Form 3

Shares or Indirect (I)

(Instr. 5)

Stock Option (right to buy)

(1)

10/29/2023 Common Stock

15,000 \$

\$ 19.98

À Senior Vice President À

D Â

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer

Â

Other

Ocain Tim

C/O ENANTA PHARMACEUTICALS, INC.

500 ARSENAL STREET

WATERTOWN, MAÂ 02472

Signatures

/s/ Timothy D. Ocain

02/03/2014

**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).

25% of the shares subject to the option will vest on the first anniversary of September 30, 2013 (the "Commencement Date"), and the remaining shares will vest in twelve (12) successive and equal quarterly installments thereafter, such that 100% of the shares subject to the option will be fully vested and exercisable on the fourth anniversary of the Commencement Date.

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