

Bazarko Daniel  
Form 3  
February 19, 2019

# 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)

1. Name and Address of Reporting Person \*

Â Bazarko Daniel

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

02/19/2019

3. Issuer Name and Ticker or Trading Symbol

ALEXION PHARMACEUTICALS, INC. [ALXN]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original Filed(Month/Day/Year)

(Check all applicable)

\_\_\_\_ Director \_\_\_\_ 10% Owner

☒ Officer \_\_\_\_ Other

(give title below) (specify below)

SVP, Controller, CAO

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting Person

\_\_\_\_ Form filed by More than One Reporting Person

C/O ALEXION  
PHARMACEUTICALS,  
INC.,Â 121 SEAPORT  
BOULEVARD

(Street)

BOSTON,Â MAÂ 02210

(City)

(State)

(Zip)

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

1. Title of Security  
(Instr. 4)

2. Amount of Securities  
Beneficially Owned  
(Instr. 4)

3. Ownership  
Form:  
Direct (D)  
or Indirect  
(I)  
(Instr. 5)

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

Common Stock, par value \$.0001 per share

243 <sup>(1)</sup>

D

Â

Common Stock, par value \$.0001 per share

1,350 <sup>(2)</sup>

D

Â

Common Stock, par value \$.0001 per share

219 <sup>(3)</sup>

D

Â

Common Stock, par value \$.0001 per share

4,762 <sup>(4)</sup>

D

Â

Common Stock, par value \$.0001 per share

2,294 <sup>(5)</sup>

D

Â

Common Stock, par value \$.0001 per share

2,025 <sup>(6)</sup>

D

Â

Common Stock, par value \$.0001 per share

5,020

D

Â

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

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)	2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Option to Purchase Common Stock	Â <u>(7)</u>	02/27/2025	Common Stock, par value \$.0001 per share	3,943	\$ 180.37	D	Â
Option to Purchase Common Stock	Â <u>(8)</u>	12/01/2025	Common Stock, par value \$.0001 per share	2,912	\$ 180.28	D	Â
Option to Purchase Common Stock	Â <u>(9)</u>	06/01/2023	Common Stock, par value \$.0001 per share	13,066	\$ 97.58	D	Â
Option to Purchase Common Stock	Â <u>(10)</u>	02/28/2024	Common Stock, par value \$.0001 per share	5,111	\$ 176.8	D	Â
Option to Purchase Common Stock	Â <u>(11)</u>	02/28/2027	Common Stock, par value \$.0001 per share	5,300	\$ 131.25	D	Â
Option to Purchase Common Stock	Â <u>(12)</u>	02/28/2026	Common Stock, par value \$.0001 per share	11,000	\$ 140.16	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Bazarko Daniel C/O ALEXION PHARMACEUTICALS, INC. 121 SEAPORT BOULEVARD BOSTON, MA 02210	Â	Â	Â SVP, Controller, CAO	Â

## Signatures

/s/ Douglas Barry, Attorney-in-Fact for Daniel  
Bazarko

02/19/2019

\_\_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) Award of Restricted Stock Unites under the 2004 Incentive Plan. 25% of the shares vest on each anniversary of the grant date. The grant date of this award was December 1, 2015. The number of shares reported are the remaining unvested shares.
  - (2) Award of Restricted Stock Unites under the 2004 Incentive Plan. 25% of the shares vest on each anniversary of the grant date. The grant date of this award was February 26, 2016. The number of shares reported are the remaining unvested shares.
  - (3) Award of Restricted Stock Unites under the 2004 Incentive Plan. 25% of the shares vest on each anniversary of the grant date. The grant date of this award was February 27, 2015. The number of shares reported are the remaining unvested shares.
  - (4) Award of Restricted Stock Unites under the 2017 Incentive Plan. 25% of the shares vest on each anniversary of the grant date. The grant date of this award was February 28, 2018. The number of shares reported are the remaining unvested shares.
  - (5) Award of Restricted Stock Unites under the 2017 Incentive Plan. 50% of the shares vest on each of the first two anniversaries of the grant date. The grant date of this award was December 1, 2017. The number of shares reported are the remaining unvested shares.
  - (6) Award of Restricted Stock Unites under the 2004 Incentive Plan. 25% of the shares vest on each anniversary of the grant date. The grant date of this award was February 28, 2017. The number of shares reported are the remaining unvested shares.
  - (7) Award of stock options under the 2004 Incentive Plan. 25% vest on the one year anniversary of the date of the grant and 1/16th every 90 days thereafter. The grant date for this award was February 27, 2015.
  - (8) Award of stock options under the 2004 Incentive Plan. 25% vest on the one year anniversary of the date of the grant and 1/16th every 90 days thereafter. The grant date for this award was December 1, 2015.
  - (9) Award of stock options under the 2004 Incentive Plan. 25% vest on the one year anniversary of the date of the grant and 1/16th every 90 days thereafter. The grant date for this award was June 1, 2013.
  - (10) Award of stock options under the 2004 Incentive Plan. 25% vest on the one year anniversary of the date of the grant and 1/16th every 90 days thereafter. The grant date for this award was February 28, 2014.
  - (11) Award of stock options under the 2004 Incentive Plan. 25% vest on the one year anniversary of the date of the grant and 1/16th every 90 days thereafter. The grant date for this award was February 28, 2017.
  - (12) Award of stock options under the 2004 Incentive Plan. 25% vest on the one year anniversary of the date of the grant and 1/16th every 90 days thereafter. The grant date for this award was February 26, 2016.

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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