

ARROWHEAD RESEARCH CORP

Form 4

January 06, 2014

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
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(Print or Type Responses)

1. Name and Address of Reporting Person *
Lewis David L.

2. Issuer Name **and** Ticker or Trading
Symbol

ARROWHEAD RESEARCH CORP
[ARWR]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

ARROWHEAD RESEARCH
CORPORATION, 225 S. LAKE
AVENUE, SUITE 1050

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
01/02/2014

____ Director ____ 10% Owner
X Officer (give title ____ Other (specify
below) below)
Chief Scientific Officer

PASADENA, CA 91101

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

6. Individual or Joint/Group Filing(Check
Applicable Line)
X Form filed by One Reporting Person
____ Form filed by More than One Reporting
Person

(City) (State) (Zip)

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	01/02/2014		M		10,000	A	\$ 4.6	10,000	D	
Common Stock	01/02/2014		M		2,500	A	\$ 5.19	12,500	D	
Common Stock	01/02/2014		M		2,500	A	\$ 2.62	15,000	D	
Common Stock	01/02/2014		S		15,000	D	\$ 10.2861	0	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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(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)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Stock Option	\$ 4.6	01/02/2014		M	10,000	11/01/2011 10/21/2021	Common Stock 10,000
Stock Option	\$ 5.19	01/02/2014		M	2,500	03/01/2012 02/16/2022	Common Stock 2,500
Stock Option	\$ 2.62	01/02/2014		M	2,500	10/01/2012 09/28/2022	Common Stock 2,500

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Lewis David L.
ARROWHEAD RESEARCH CORPORATION
225 S. LAKE AVENUE, SUITE 1050
PASADENA, CA 91101

Chief Scientific Officer

Signatures

David L. Lewis 01/03/2014

**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).

(1) Includes previously reported common stock options which are subject to certain vesting conditions

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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