#### Edgar Filing: ARROWHEAD RESEARCH CORP - Form 4

#### ARROWHEAD RESEARCH CORP

Form 4

February 10, 2014

# FORM 4

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

**OMB** Number:

3235-0287 January 31,

2005

0.5

if no longer subject to

Check this box

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

Expires: Estimated average

**OMB APPROVAL** 

burden hours per

response...

Section 16. Form 4 or Form 5 obligations may continue. See Instruction

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* FRYKMAN EDWARD W

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to

Symbol

ARROWHEAD RESEARCH CORP

(Check all applicable)

[ARWR]

(Last)

3. Date of Earliest Transaction

\_X\_\_ Director Officer (give title

10% Owner Other (specify

225 SOUTH LAKE AVENUE,

(First)

(Street)

(Middle)

**SUITE 1050** 

6. Individual or Joint/Group Filing(Check

Applicable Line)

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

(Month/Day/Year)

02/06/2014

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

Person

Issuer

PASADENA, CA 91101

(City)	(State)	(Zip) Tak	ole I - Non-	Derivative	Secu	rities Acquii	red, Disposed of,	or Beneficiall	y Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. 4. Securities Transactioner Disposed Code (Instr. 3, 4) (Instr. 8)  Code V Amount		ed of	(D)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	Ownership Form: Direct (D) or Indirect (I) ) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock	02/06/2014		A	15,000 (1)	A	\$ 0 (2)	22,000	D	
Common Stock	02/07/2014		M	5,000	A	\$ 10	27,000	D	
Common Stock	02/07/2014		S(3)	3,148	D	\$ 15.9771	23,852	D	

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form

**SEC 1474** 

(9-02)

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# 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. 5. Number Transaction Derivative Code Securities (Instr. 8) Acquired (A) or Disposed of (D)		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	(Instr. 3, 4, and 5)  (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option	\$ 10	02/07/2014		M	5,000	02/15/2004	02/15/2014	Common Stock	5,000

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

FRYKMAN EDWARD W 225 SOUTH LAKE AVENUE, SUITE 1050 X PASADENA, CA 91101

# **Signatures**

Edward W. 02/10/2014 Frykman

\*\*Signature of Date
Reporting Person

### **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) Represents shares underlying restricted stock unit, which shares will vest on the one year anniversary of the date of grant.
- (2) Not applicable.
- (3) Shares sold to cover exercise price of stock option.
- (4) Includes shares underlying other options previously granted.

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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