

SPECTRUM PHARMACEUTICALS INC
Form 4
December 23, 2015

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
SHROTRIYA RAJESH C MD

2. Issuer Name and Ticker or Trading Symbol
SPECTRUM
PHARMACEUTICALS INC [SPPI]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
11500 S. EASTERN AVE., SUITE 240
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
12/22/2015

Director 10% Owner
 Officer (give title below) Other (specify below)
Chairman & CEO

HENDERSON, NV 89052

(City) (State) (Zip)

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

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

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, \$0.001 par value	12/22/2015		M		90,750	A	\$ 4.23	101,426	I	By Shrotriya Gift Trust
Common Stock, \$0.001 par value	12/22/2015		F		65,732 <u>(1)</u>	D	\$ 5.84	35,694	I	By Shrotriya Gift Trust
Common Stock, \$0.001 par	12/22/2015		M		38,498	A	\$ 4.23	38,498	I	By Shrotriya Annuity Trust

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value								
Common Stock, \$0.001 par value	12/22/2015	F	27,885 <u>(1)</u>	D	\$ 5.84	10,613	I	By Shrotriya Annuity Trust
Common Stock, \$0.001 par value						1,766,740	D	
Common Stock, \$0.001 par value						498,894	I	By CS Family Trust
Common Stock, \$0.001 par value						26,128	I	By 401(k) Plan
Common Stock, \$0.001 par value						9,523	I	By Spouse
Common Stock, \$0.001 par value						78,089	I	By Shrotriya Family Foundation

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

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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. 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
	\$ 4.23	12/22/2015		M	90,750	01/01/2009	01/01/2016		90,750

Stock Option Exercise (Right to Buy)								Common Stock	
Stock Option Exercise (Right to Buy)	\$ 4.23	12/22/2015	M	38,498	01/01/2009	01/01/2016	Common Stock	38,498	

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
SHROTRIYA RAJESH C MD 11500 S. EASTERN AVE. SUITE 240 HENDERSON, NV 89052	X	X	Chairman & CEO	

Signatures

/s/ Kurt A. Gustafson, attorney-in-fact for Rajesh C. Shrotriya
 12/23/2015

**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) Represents shares withheld by Spectrum to satisfy the Reporting Person's payment of the exercise price. The shares have not been sold by the Reporting Person or by Spectrum. The shares have been cancelled by the transfer agent.

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.