

Riga Thomas J
Form 3
December 27, 2017

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 * | | 2. Date of Event Requiring Statement | 3. Issuer Name and Ticker or Trading Symbol | |
| Â Riga Thomas J | | (Month/Day/Year) | SPECTRUM PHARMACEUTICALS INC [SPPI] | |
| (Last) | (First) | (Middle) | 12/17/2017 | |
| 11500 S. EASTERN AVE., | | 4. Relationship of Reporting Person(s) to Issuer | | |
| SUITE 240 | | (Check all applicable) | | |
| (Street) | | <input type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other (give title below) (specify below) Chief Operating Officer | | |
| HENDERSON,Â NVÂ 89052 | | 5. If Amendment, Date Original Filed(Month/Day/Year) | | |
| (City) | (State) | (Zip) | 6. Individual or Joint/Group Filing(Check Applicable Line) | |
| | | <input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person | | |

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, \$0.001 par value | 151,696 | D | Â |
| Common Stock, \$0.001 par value | 9,096 | I | By 401k Plan |

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 | 5. Ownership Form of Derivative | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|---|---|--|------------------------------------|---------------------------------|--|
|---|---|--|------------------------------------|---------------------------------|--|

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| | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | Derivative Security | Security: Direct (D) or Indirect (I) (Instr. 5) | |
|-----------------------------|------------------|-----------------|--------------|----------------------------|---------------------|---|---|
| Stock Option (Right to Buy) | Â (1) | 07/08/2023 | Common Stock | 35,000 | \$ 7.88 | D | Â |
| Stock Option (Right to Buy) | Â (2) | 03/25/2024 | Common Stock | 17,331 | \$ 7.78 | D | Â |
| Stock Option (Right to Buy) | Â (3) | 02/18/2025 | Common Stock | 40,000 | \$ 7.23 | D | Â |
| Stock Option (Right to Buy) | Â (4) | 04/15/2025 | Common Stock | 50,000 | \$ 6.01 | D | Â |
| Stock Option (Right to Buy) | Â (5) | 10/26/2025 | Common Stock | 50,000 | \$ 5.33 | D | Â |
| Stock Option (Right to Buy) | Â (6) | 12/14/2025 | Common Stock | 100,000 | \$ 5.31 | D | Â |
| Stock Option (Right to Buy) | Â (7) | 03/30/2026 | Common Stock | 45,000 | \$ 6.03 | D | Â |
| Stock Option (Right to Buy) | Â (8) | 05/12/2027 | Common Stock | 35,000 | \$ 5.99 | D | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|---------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Riga Thomas J 11500 S. EASTERN AVE., SUITE 240 HENDERSON, NV 89052 | Â | Â | Â Chief Operating Officer | Â |

Signatures

/s/ Kurt A. Gustafson, attorney-in-fact for Thomas J.
Riga

12/27/2017

**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) These options are fully vested.

(2) 25% of the option shares vested on March 25, 2015. The remaining option shares shall vest in 25% equal annual amounts on each anniversary date of the grant over three years.

(3) 25% of the option shares vested on February 18, 2016. The remaining option shares shall vest in 25% equal annual amounts on each anniversary date of the grant over three years.

(4) 25% of the option shares vested on April 15, 2015. The remaining option shares shall vest in 25% equal annual amounts on each anniversary date of the grant over three years.

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- (5) 25% of the option shares vested on October 26, 2015. The remaining option shares shall vest in 25% equal annual amounts on each anniversary date of the grant over three years.
- (6) 25% of the option shares vested on December 14, 2015. The remaining option shares shall vest in 25% equal annual amounts on each anniversary date of the grant over three years.
- (7) 25% of the option shares vested on March 30, 2017. The remaining option shares shall vest in 25% equal annual amounts on each anniversary date of the grant over three years.
- (8) 25% of the option shares shall vest on May 12, 2018. The remaining option shares shall vest in 25% equal annual amounts on each anniversary date of the grant over three years.

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.