

Ocain Tim
Form 4
October 02, 2018

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

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(Print or Type Responses)

1. Name and Address of Reporting Person *
Ocain Tim

2. Issuer Name **and** Ticker or Trading
Symbol
ENANTA PHARMACEUTICALS
INC [ENTA]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

C/O ENANTA
PHARMACEUTICALS, INC., 500
ARSENAL STREET

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
10/01/2018

____ Director ____ 10% Owner
____X____ Officer (give title ____ Other (specify
below) below)
Senior Vice President

WATERTOWN, MA 02472

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 | 10/01/2018 | | M | | 15,000 | A | \$ 19.98 | 21,127 | D | |
| Common Stock | 10/01/2018 | | M | | 10,000 | A | \$ 32.27 | 31,127 | D | |
| Common Stock | 10/01/2018 | | S ⁽¹⁾ | | 3,500 | D | \$ 82.0406 ⁽²⁾ | 27,627 | D | |
| Common Stock | 10/01/2018 | | S ⁽¹⁾ | | 6,219 | D | \$ 83.4744 | 21,408 | D | |

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| | | | | | | | |
|-----------------|------------|------------------|--------|---|----------------------|-------|---|
| Common Stock | 10/01/2018 | S ⁽¹⁾ | 14,677 | D | (3) \$ 84.0167 | 6,731 | D |
| | | | | | (4) \$ 85.2995 | | |
| Common Stock | 10/01/2018 | S ⁽¹⁾ | 604 | D | (5) \$ 85.2995 | 6,127 | 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 displays a currently valid OMB control number.

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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) | | 8. | |
|---|---|---|---|---|--|--|-----|---|--------------------|-----------------|-------------------------------------|
| | | | | Code | V | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Stock Option (Right to Buy) | \$ 19.98 | 10/01/2018 | | M | | 15,000 | | <u>(6)</u> | 10/29/2023 | Common Stock | 15,000 |
| Stock Option (Right to Buy) | \$ 32.27 | 10/01/2018 | | M | | 10,000 | | <u>(6)</u> | 01/30/2024 | Common Stock | 10,000 |

Reporting Owners

| Reporting Owner Name / Address | Relationships |
|--|----------------------------------|
| | Director 10% Owner Officer Other |
| Ocain Tim C/O ENANTA PHARMACEUTICALS, INC. 500 ARSENAL STREET WATERTOWN, MA 02472 | Senior Vice President |

Signatures

/s/ Timothy D.
Ocain

10/02/2018

 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) The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person in August 2018.
- (2) The price reported in Column 4 is a weighted-average price. These shares were sold in multiple transactions at prices ranging from \$81.84 to \$82.21, inclusive.
- (3) The price reported in Column 4 is a weighted-average price. These shares were sold in multiple transactions at prices ranging from \$82.77 to \$83.76, inclusive.
- (4) The price reported in Column 4 is a weighted-average price. These shares were sold in multiple transactions at prices ranging from \$83.77 to \$84.73, inclusive.
- (5) The price reported in Column 4 is a weighted-average price. These shares were sold in multiple transactions at prices ranging from \$84.915 to \$85.67, inclusive.
- (6) 100% of the shares subject to this option are fully vested and exercisable.

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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