Xenon Pharmaceuticals Inc.

Form 3

November 04, 2014

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

Expires:

response...

January 31, 2005

0.5

Estimated average burden hours per

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 \*

AZAB MOHAMMAD

(Last) (First) (Middle)

(Month/Day/Year)

11/04/2014

Xenon Pharmaceuticals Inc. [XENE]

**PHARMACEUTICALS** 

INC.. 200 - 3650 GILMORE

WAY

C/O XENON

(Street)

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Statement

4. Relationship of Reporting

Person(s) to Issuer

5. If Amendment, Date Original

Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Form filed by More than One

Filed(Month/Day/Year)

(Check all applicable)

10% Owner \_X\_ Director Officer Other

6. Individual or Joint/Group

(give title below) (specify below)

BURNABY, A1Â V5G 4W8

(City) (State)

(Zip)

Reporting Person Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security

(Instr. 4)

2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership Form:

Direct (D) or Indirect (I) (Instr. 5)

4. Nature of Indirect Beneficial Ownership

Person

(Instr. 5)

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)

5. Ownership Conversion or Exercise Form of Price of Derivative

6. Nature of Indirect Beneficial Ownership

(Instr. 5)

Derivative Security:

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Stock Option (Right to Buy)	(1)	03/31/2015(16)	Common Shares	2,469 (2)	\$ 4.98 <u>(3)</u>	D	Â
Stock Option (Right to Buy)	(4)	12/31/2015	Common Shares	2,469 (2)	\$ 5.22 (3)	D	Â
Stock Option (Right to Buy)	(5)	12/31/2016	Common Shares	12,345 (2)	\$ 3.21 (6)	D	Â
Stock Option (Right to Buy)	(7)	12/31/2017	Common Shares	3,497 (2)	\$ 3.77 (6)	D	Â
Stock Option (Right to Buy)	(8)	06/26/2018	Common Shares	10,288 (2)	\$ 3.7 (6)	D	Â
Stock Option (Right to Buy)	(9)	12/31/2018	Common Shares	3,086 (2)	\$ 3.07 (6)	D	Â
Stock Option (Right to Buy)	(9)	12/31/2019	Common Shares	3,086 (2)	\$ 3.56 (6)	D	Â
Stock Option (Right to Buy)	(10)	12/31/2020	Common Shares	3,086 (2)	\$ 3.76 (6)	D	Â
Stock Option (Right to Buy)	(11)	12/31/2021	Common Shares	3,086 (2)	\$ 3.67 (6)	D	Â
Stock Option (Right to Buy)	(12)	12/31/2022	Common Shares	3,086 (2)	\$ 2.68 (13)	D	Â
Stock Option (Right to Buy)	(14)	01/13/2024	Common Shares	823 (2)	\$ 9.85 (15)	D	Â
Stock Option (Right to Buy)	(14)	01/13/2024	Common Shares	3,497 (2)	\$ 9.85 (15)	D	Â

## **Reporting Owners**

Reporting Owner Name / Address	Relationships				
	Director	10% Owner	Officer	Other	
AZAB MOHAMMAD C/O XENON PHARMACEUTICALS INC. 200 - 3650 GILMORE WAY BURNABY, A1 V5G 4W8	ÂΧ	Â	Â	Â	

## **Signatures**

/s/ Barbara Mery, Attorney-in-fact for Mohammad Azab 11/04/2014

\*\*Signature of Reporting Person

Reporting Owners 2

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) The shares subject to the option fully vested on January 1, 2008.
- (2) Reflects a 1-for-4.86 reverse stock split of the Issuer's outstanding shares effected October 1, 2014 (the "Reverse Stock Split").
- The exercise price was converted from \$6.07 CAD using the closing rate of exchange of the Bank of Canada on the date of grant, after giving effect to the Reverse Stock Split. The actual exercise price is the Canadian dollar amount regardless of the exchange rate on the date of exercise.
- (4) The shares subject to the option fully vested on January 1, 2009.
- (5) The shares subject to the option fully vested on January 1, 2010.
- The exercise price was converted from \$3.74 CAD using the closing rate of exchange of the Bank of Canada on the date of grant, after giving effect to the Reverse Stock Split. The actual exercise price is the Canadian dollar amount regardless of the exchange rate on the date of exercise.
- (7) The shares subject to the option fully vested on January 1, 2011.
- (8) The shares subject to the option fully vested on June 26, 2011.
- (9) The shares subject to the option fully vested on January 1, 2011.
- (10) The shares subject to the option fully vested on January 1, 2014.
- 1/3 of the shares subject to the Option vested on January 1, 2013 (the "2012 Vesting Commencement Date") and thereafter the (11) remaining 2/3 of the shares subject to the Option vest each monthly anniversary of the 2012 Vesting Commencement Date over the following 2 years.
- 1/3 of the shares subject to the Option vested on January 1, 2014 (the "2013 Vesting Commencement Date") and thereafter the (12) remaining 2/3 of the shares subject to the Option vest each monthly anniversary of the 2013 Vesting Commencement Date over the following 2 years.
- The exercise price was converted from \$2.67 CAD using the closing rate of exchange of the Bank of Canada on the date of grant, after giving effect to the Reverse Stock Split. The actual exercise price is the Canadian dollar amount regardless of the exchange rate on the date of exercise
- 1/3 of the shares subject to the Option vest on January 14, 2015 (the "2014 Vesting Commencement Date") and thereafter the remaining
   (14) 2/3 of the shares subject to the Option vest each monthly anniversary of the 2014 Vesting Commencement Date over the following 2 years.
- The exercise price was converted from \$10.78 CAD using the closing rate of exchange of the Bank of Canada on the date of grant, after giving effect to the Reverse Stock Split. The actual exercise price is the Canadian dollar amount regardless of the exchange rate on the date of exercise.
- The shares subject to this option were due to expire on January 10, 2014. Pursuant to the Issuer's Amended and Restated Stock Option
  Plan, the expiration date of this option has been extended until five business days following the expiration of the Lock-up Agreement
  entered into in connection with the Issuer's initial public offering. The Lock-up Agreement will expire 180 days after the date of the final
  prospectus related to the initial public offering, or March 31, 2015.

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.