

SARGEN GREGORY
Form 4
May 09, 2018

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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 *
SARGEN GREGORY

(Last) (First) (Middle)

ONE MEADOWLANDS PLAZA

(Street)

EAST RUTHERFORD, NJ 07073

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
CAMBREX CORP [CBM]

3. Date of Earliest Transaction
(Month/Day/Year)
05/07/2018

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)

EVP, Corporate Development

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	05/07/2018		A		30,000 (1)	A	\$ 0 50,000 D
Common Stock	05/07/2018		S		23,002 (2)	D	\$ 49.4618 26,998 (3) D
Common Stock	05/08/2018		A		7,500 A	\$ 16.905 34,498 D	
Common Stock	05/08/2018		A		7,500 A	\$ 17.81 41,998 D	
Common Stock	05/08/2018		A		15,000 A	\$ 41.36 56,998 D	

Edgar Filing: SARGEN GREGORY - Form 4

Common Stock	05/08/2018		A	7,500	A	\$ 40.65	64,498	D
Common Stock	05/08/2018		S	10,565	D	\$ 49.05 (4)	53,933	D
Common Stock	05/08/2018		S	33,933	D	\$ 49.6254 (5)	20,000	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.

SEC 1474
(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. Amount or Number of Shares	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option (right to buy)	\$ 16.905	05/08/2018		M	7,500	(6)	10/28/2020	Common Stock	7,500
Stock Option (right to buy)	\$ 17.81	05/08/2018		M	7,500	(7)	10/22/2021	Common Stock	7,500
Stock Option (right to buy)	\$ 41.36	05/08/2018		M	15,000	(8)	10/21/2022	Common Stock	15,000
Stock Option (right to buy)	\$ 40.65	05/08/2018		M	7,500	(9)	10/26/2023	Common Stock	7,500

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
SARGEN GREGORY ONE MEADOWLANDS PLAZA EAST RUTHERFORD, NJ 07073			EVP, Corporate Development	

Signatures

Danielle Mann for Gregory Sargen by
POA

05/09/2018

__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) Pursuant to settlement of a performance share award.
- (2) Broker-assisted sale of which 14,805 shares were to cover the payment of withholding tax liability from the settlement of a performance share award.
- (3) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$49.20 to \$49.875 inclusive. The reporting person undertakes to provide to Cambrex Corporation, any security holder of Cambrex Corporation, or staff of the Securities Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this Footnote 3 to this Form 4.
- (4) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$48.50 to \$49.45 inclusive. The reporting person undertakes to provide to Cambrex Corporation, any security holder of Cambrex Corporation, or staff of the Securities Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this Footnote 4 to this Form 4.
- (5) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$49.50 to \$49.85 inclusive. The reporting person undertakes to provide to Cambrex Corporation, any security holder of Cambrex Corporation, or staff of the Securities Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this Footnote 5 to this Form 4.
- (6) The option representing a right to purchase 30,000 shares became exercisable in four equal installments beginning October 28, 2014, which was the first anniversary of the date on which the option was granted.
- (7) The option representing a right to purchase 30,000 shares became exercisable in four equal installments beginning October 22, 2015, which was the first anniversary of the date on which the option was granted.
- (8) The option representing a right to purchase 30,000 shares became exercisable in four equal installments beginning October 22, 2016, which was the first anniversary of the date on which the option was granted.
- (9) The option representing a right to purchase 30,000 shares became exercisable in four equal installments beginning October 26, 2017, which was the first anniversary of the date on which the option was 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.