Edgar Filing: SHROTRIYA RAJESH C MD - Form 4

SHROTRIY Form 4	A RAJESH C N	/ID											
May 04, 201										OMB	APPROVAL		
FORM	SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549							OMB Number:	3235-0287				
subject to		MENT O	F CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES								January 31 2005 d average		
Section Form 4 of Form 5 obligation may com <i>See</i> Instru- 1(b).	Filed por Filed por Section 17	7(a) of the	Public U	l6(a) of Itility H	f th Iol	ne Securi	npan	y Act of	e Act of 1934, f 1935 or Sectio 40	burden he response	•		
(Print or Type	Responses)												
SHROTRIYA RAJESH C MD Sym			2. Issue Symbol SPECT		ano	d Ticker or	Tradi	ng	5. Relationship of Reporting Person(s) to Issuer				
						TICALS	INC	[SPPI]	(Check all applicable)				
(Last) 11500 S. E. 240	(First) ASTERN AVE.	(Middle)	3. Date of (Month/) 05/02/2	Day/Yea		ransaction			X Director Officer (give below)		0% Owner ther (specify		
	(Street)		4. If Am Filed(Mo			ate Origina r)	ıl		6. Individual or Ja Applicable Line) _X_ Form filed by	One Reporting	Person		
	ON, NV 89052								Form filed by M Person	viore man One	Reporting		
(City)	(State)	(Zip)		ole I - No 3.	n-l			-	uired, Disposed o		-		
1.Title of Security (Instr. 3)		ansaction Date 2A. Deemed th/Day/Year) Execution Date, if any (Month/Day/Year)			3)	4. Securiti n(A) or Dis (Instr. 3, 4)	sposed	l of (D)	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)		
Common Stock, \$0.001 par value	05/02/2018			S <u>(1)</u>	·	30,000		\$ 16.04	849,977	I	By CS Family Trust		
Common Stock, \$0.001 par value	05/03/2018			S <u>(1)</u>		30,000	D	\$ 16.01 (3)	819,977	I	By CS Family Trust		
Common Stock, \$0.001 par	05/04/2018			S <u>(1)</u>		30,000	D	\$ 16.79 (4)	789,977	I	By CS Family Trust		

value

value			
Common Stock, \$0.001 par value	1,787,542	I	By Shrotriya Gift Trust
Common Stock, \$0.001 par value	1,243,284	I	By RS Irrevocable Trust
Common Stock, \$0.001 par value	28,907	I	By 401(k) Plan
Common Stock, \$0.001 par value	9,523	I	By Spouse
Common Stock, \$0.001 par value	67,144	I	By Shrotriya Family Foundation
Common Stock, \$0.001 par value	200,652	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.

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative	2. Conversion	3. Transaction Date (Month/Day/Year)		4. Transact	5. onNumber	6. Date Exer Expiration D		7. Titl Amou		8. Price of Derivative	9. Nu Deriv
Security	or Exercise		any	Code	of	(Month/Day/		Under	lving	Security	Secu
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)		`````)	Secur		(Instr. 5)	Bene
	Derivative		(· · · · · · · · · · · · · · · · · · ·	(Securitie			(Instr.	3 and 4)		Owne
	Security				Acquired	l			<i>.</i>		Follo
					(A) or						Repo
					Disposed	1					Trans
					of (D) (Instr. 3, 4, and 5)						(Instr
				Code V	(A) (D)	Date	Expiration	Title	Amount		
				0000	(11) (D)	Exercisable	Date	THE	or		
									Number		

of Shares

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

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SHROTRIYA RAJESH C MD 11500 S. EASTERN AVE. SUITE 240 HENDERSON, NV 89052

Signatures

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

**Signature of Reporting Person

05/04/2018

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) All sales reported on this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on March 19, 2018.

The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$15.94 to \$16.179, inclusive. The reporting person undertakes to provide to Spectrum Pharmaceuticals, Inc., any security holder of Spectrum

(2) Boston 179, inclusive: The reporting person undertaces to provide to spectrum rhamaceutears, inc., any security holder of spectrum rhamaceutears, inc., and security holder of

The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$15.72 to \$16.10, inclusive. The reporting person undertakes to provide to Spectrum Pharmaceuticals, Inc., any security holder of Spectrum

(3) Pharmaceuticals, Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in this footnote.

The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$16.25 to \$17.05, inclusive. The reporting person undertakes to provide to Spectrum Pharmaceuticals, Inc., any security holder of Spectrum

(4) The reporting person undertakes to provide to spectrum matmaceuticals, inc., any security noter of spectrum pharmaceuticals, Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in this footnote.

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.