

Havey Adam
Form 4
October 17, 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

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
Havey Adam

(Last) (First) (Middle)

400 PROFESSIONAL DR, SUITE
400

(Street)

GAITHERSBURG, MD 20879

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
Emergent BioSolutions Inc. [EBS]

3. Date of Earliest Transaction
(Month/Day/Year)
10/15/2018

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, Business Operations

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)
Common Stock	10/15/2018		M	Amount <u>6,165</u> (1)	A \$ 25.62 36,079	D	
Common Stock	10/15/2018		S	Amount <u>6,165</u> (1)	D \$ 60.1549 29,914 (2)	D	
Common Stock	10/15/2018		M	Amount <u>6,165</u> (1)	A \$ 25.62 36,079	D	
Common Stock	10/15/2018		S	Amount <u>6,165</u> (1)	D \$ 60.0293 29,914 (3)	D	
	10/15/2018		S	661 <u>(1)</u>	D \$ 60.67 29,253	D	

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Common
Stock

Common Stock	10/16/2018	M	<u>6,165</u> (1)	A	\$ 25.62	35,418	D
Common Stock	10/16/2018	S	<u>6,165</u> (1)	D	\$ 61.5	29,253	D
Common Stock	10/16/2018	M	<u>3,840</u> (1)	A	\$ 25.62	33,093	D
Common Stock	10/16/2018	S	<u>3,840</u> (1)	D	\$ 63.5	29,253	D

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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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. I Der Sec (In
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Stock Option (Right to Buy) ⁽⁴⁾	\$ 25.62	10/15/2018		M	<u>6,165</u> (1)	<u>(5)</u>	03/10/2021	Common Stock	6,165	
Stock Option (Right to Buy) ⁽⁴⁾	\$ 25.62	10/15/2018		M	<u>6,165</u> (1)	<u>(5)</u>	03/10/2021	Common Stock	6,165	
Stock Option (Right to Buy) ⁽⁴⁾	\$ 25.62	10/16/2018		M	<u>6,165</u> (1)	<u>(5)</u>	03/10/2021	Common Stock	6,165	
Stock Option	\$ 25.62	10/16/2018		M	<u>3,840</u> (1)	<u>(5)</u>	03/10/2021	Common Stock	3,840	

(Right to
Buy) ⁽⁴⁾

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Havey Adam 400 PROFESSIONAL DR, SUITE 400 GAITHERSBURG, MD 20879			EVP, Business Operations	

Signatures

/s/ S. Scott
Lieberman 10/17/2018

 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 transactions reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by Mr. Havey.
- (2) The price reported is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$59.31 to \$60.67, inclusive.
- (3) The price reported is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$59.50 to \$60.67, inclusive.
- (4) Consists of an option granted under the company's stock incentive plan as amended and restated.
- (5) The option grant vested in three equal installments on the day prior to the first, second and third anniversary dates of the grant.

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.