Catalent, Inc. Form 4 July 28, 2016

# FORM 4

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

**SECURITIES** 

2. Issuer Name and Ticker or Trading

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

subject to Section 16. Form 4 or Form 5 obligations

if no longer

Check this box

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

may continue. See Instruction 1(b).

Symbol

(Print or Type Responses)

(Last)

1. Name and Address of Reporting Person \* Gennadios Aristippos

> (First) (Middle)

C/O CATALENT, INC., 14

SCHOOLHOUSE ROAD

(Street)

(State)

4. If Amendment, Date Original

Catalent, Inc. [CTLT]

3. Date of Earliest Transaction

Filed(Month/Day/Year)

(Month/Day/Year)

07/26/2016

**OMB APPROVAL** 

OMB Number:

3235-0287

Expires:

January 31, 2005

0.5

Estimated average burden hours per

response...

Issuer (Check all applicable) Director 10% Owner X\_ Officer (give title Other (specify below) below) See Remarks 6. Individual or Joint/Group Filing(Check Applicable Line) \_X\_ Form filed by One Reporting Person

5. Relationship of Reporting Person(s) to

SOMERSET, NJ 08873

(City) 1.Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if

(Zip)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 3, 4 and 5) (Instr. 8)

5. Amount of Securities Beneficially Owned Following Reported

Form: Direct (D) or Indirect (I) (Instr. 4)

Form filed by More than One Reporting

6. Ownership 7. Nature of Indirect Beneficial Ownership (Instr. 4)

(9-02)

Transaction(s) (Instr. 3 and 4) Price

Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

Common Stock

(Instr. 3)

07/26/2016

 $A^{(1)}$ 

Code V Amount

3,069

\$0 (2)

(A)

or

(D)

 $14,067 \stackrel{(2)}{=}$ D

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

(Month/Day/Year)

Persons who respond to the collection of SEC 1474 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)

#### Edgar Filing: Catalent, Inc. - Form 4

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 or Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exerc Expiration D (Month/Day/	ate	7. Title and A Underlying S (Instr. 3 and	Securities
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Common Stock	\$ 24.44	07/26/2016		A <u>(1)</u>	15,735	(3)	07/26/2026	Common Stock	15,735

# **Reporting Owners**

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			

Gennadios Aristippos C/O CATALENT, INC. 14 SCHOOLHOUSE ROAD SOMERSET, NJ 08873

See Remarks

# **Signatures**

/s/ Christine Caputo, by power of attorney

07/28/2016

\*\*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 restricted stock units and options received by the reporting person were granted as part of the Issuer's annual long-term incentive plan to its executive officers and other personnel and were approved by the Issuer on July 26, 2016.
- (2) Includes restricted stock units.
- On July 26, 2016, the reporting person was granted options to purchase 15,735 shares of common stock of the Issuer which vest and become exercisable in four equal installments beginning July 26, 2017.

#### **Remarks:**

President - Softgel

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.

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