

HALOZYME THERAPEUTICS INC
Form 4
June 02, 2016

FORM 4

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

OMB APPROVAL

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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 *
KIRK RANDAL J

2. Issuer Name and Ticker or Trading Symbol
HALOZYME THERAPEUTICS INC [HALO]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)
05/31/2016

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

C/O THIRD SECURITY, LLC, 1881 GROVE AVENUE

(Street)

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

6. Individual or Joint/Group Filing(Check Applicable Line)

Form filed by One Reporting Person
 Form filed by More than One Reporting Person

RADFORD, VA 24141

(City) (State) (Zip)

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	05/31/2016		J(1)		1,326,320 (1)	D	0	by NRM IV (2)
Common Stock	05/31/2016		J(1)		81,795 (1)	A	216,795	by Staff 2001 (2)
Common Stock	05/31/2016		J(1)		371,186 (1)	A	3,056,601	by R.J. Kirk DOT (2)
Common Stock	05/31/2016		J(1)		372 (1)	A	11,317	by Lotus (2)
	05/31/2016		J(1)		9,954 (1)	A	302,954	

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Common Stock									by JPK 2008 ⁽²⁾
Common Stock	05/31/2016	J ⁽¹⁾	9,954 ⁽¹⁾	A	Ⓛ	302,954	I		by MGK 2008 ⁽²⁾
Common Stock	05/31/2016	J ⁽¹⁾	9,954 ⁽¹⁾	A	Ⓛ	302,954	I		by ZSK 2008 ⁽²⁾
Common Stock	05/31/2016	J ⁽¹⁾	23,259 ⁽¹⁾	A	Ⓛ	354,654	I		by JPK 2009 ⁽²⁾
Common Stock	05/31/2016	J ⁽¹⁾	23,259 ⁽¹⁾	A	Ⓛ	354,653	I		by MGK 2009 ⁽²⁾
Common Stock	05/31/2016	J ⁽¹⁾	2,235 ⁽¹⁾	A	Ⓛ	2,235	I		by ZSK 2009 ⁽²⁾
Common Stock	05/31/2016	J ⁽¹⁾	27,260 ⁽¹⁾	A	Ⓛ	290,460	I		by JPK 2012 ⁽²⁾
Common Stock	05/31/2016	J ⁽¹⁾	4,382 ⁽¹⁾	A	Ⓛ	46,701	I		by Kellie L. Banks LTT ⁽²⁾
Common Stock	05/31/2016	J ⁽¹⁾	131,144 ⁽¹⁾	A	Ⓛ	131,144	I		by Senior Staff 2006 ⁽²⁾
Common Stock	05/31/2016	J ⁽¹⁾	65,572 ⁽¹⁾	A	Ⓛ	65,572	I		by Staff 2006 ⁽²⁾
Common Stock	05/31/2016	J ⁽¹⁾	21,858 ⁽¹⁾	A	Ⓛ	21,858	I		by Incentive 2006 ⁽²⁾
Common Stock						3,977,445	I		by Kapital Joe ⁽²⁾
Common Stock						6,328,853	I		by NRM V ⁽²⁾
Common Stock						3,538,253	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	2. Conversion or Exercise	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any	4. Transaction Code	5. Number of	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying	8. Price of Derivative Security	9. Nu Deriv Secur
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(Instr. 3)	Price of Derivative Security	(Month/Day/Year)	(Instr. 8)	Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	Securities (Instr. 3 and 4)	(Instr. 5)	Bene- Own- Follo- Repo- Trans- (Instr.			
			Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
KIRK RANDAL J C/O THIRD SECURITY, LLC 1881 GROVE AVENUE RADFORD, VA 24141	X	X		

Signatures

/s/ Randal J. Kirk
06/02/2016
Date

**Signature of Reporting Person

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) On May 31, 2016, New River Management IV, LP ("NRM IV") made a liquidating distribution of its assets to its partners in connection with the dissolution of the partnership in accordance with the terms of its limited partnership agreement. NRM IV held 1,326,320 shares of common stock of the issuer. The following entities in their capacities as partners of NRM IV, or designees, received shares: Third Security Staff 2001 LLC ("Staff 2001"), R.J. Kirk DOT, Lotus Capital (2000) Co, Inc. ("Lotus"), JPK 2008 LLC ("JPK 2008"), MGK 2008 LLC ("MGK 2008"), ZSK 2008 LLC ("ZSK 2008"), JPK 2009 LLC ("JPK 2009"), MGK 2009 LLC ("MGK 2009"), ZSK 2009 LLC ("ZSK 2009"), JPK 2012 LLC ("JPK 2012"), Kellie L Banks (2009) Long Term Trust ("Kellie L. Banks LTT"), Third Security Senior Staff 2006 LLC ("Senior Staff 2006"), Third Security Staff 2006 LLC ("Staff 2006") and Third Security Incentive 2006 LLC ("Incentive 2006").
- Randal J. Kirk controls each of NRM IV, Staff 2001, R.J. Kirk DOT, Lotus, JPK 2008, MGK 2008, ZSK 2008, JPK 2009, MGK 2009, ZSK 2009, JPK 2012, Kellie L. Banks LTT, Senior Staff 2006, Staff 2006, Incentive 2006, Kapital Joe, LLC ("Kapital Joe") and New River Management V, LP ("NRM V"). Shares held by these entities may be deemed to be indirectly beneficially owned (as defined under Rule 13d-3 promulgated under the Securities Exchange Act of 1934, as amended) by Mr. Kirk. Mr. Kirk disclaims beneficial ownership of such shares, except to the extent of any pecuniary interest therein.

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