

Havey Adam
Form 4
October 17, 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

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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 *
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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V | Amount (A) or (D) Price | | |
| Common Stock | 10/15/2018 | | M | | 6,165 (1) \$ 25.62 | D | |
| Common Stock | 10/15/2018 | | S | | 6,165 (1) \$ 60.1549 (2) | D | |
| Common Stock | 10/15/2018 | | M | | 6,165 (1) \$ 25.62 | D | |
| Common Stock | 10/15/2018 | | S | | 6,165 (1) \$ 60.0293 (3) | D | |
| | 10/15/2018 | | S | | 661 (1) \$ 60.67 | 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.

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 |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|
| Stock Option (Right to Buy) ⁽⁴⁾ | \$ 25.62 | 10/15/2018 | | M | <u>6,165</u> (1) | ⁽⁵⁾ 03/10/2021 | Common Stock | 6,165 |
| Stock Option (Right to Buy) ⁽⁴⁾ | \$ 25.62 | 10/15/2018 | | M | <u>6,165</u> (1) | ⁽⁵⁾ 03/10/2021 | Common Stock | 6,165 |
| Stock Option (Right to Buy) ⁽⁴⁾ | \$ 25.62 | 10/16/2018 | | M | <u>6,165</u> (1) | ⁽⁵⁾ 03/10/2021 | Common Stock | 6,165 |
| Stock Option | \$ 25.62 | 10/16/2018 | | M | <u>3,840</u> (1) | ⁽⁵⁾ 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.