

KIRK RANDAL J
Form 4
July 26, 2017

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 *
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)

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

C/O THIRD SECURITY, LLC, 1881
GROVE AVENUE

07/24/2017

(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)
Common Stock	07/24/2017		J(1)	V Amount (1) 6,328,853	(A) or (D) Price D \$ 0 (1) 0	I	by NRM V (2)
Common Stock	07/24/2017		J(1)	V Amount (1) 2,264,483	A \$ 0 (1) 5,321,084	I	by R.J. Kirk DOT (2)
Common Stock	07/24/2017		J(1)	V Amount (1) 2,327,603	A \$ 0 (1) 2,327,603	I	by TSCP V (2)
Common Stock					290,460	I	by JPK 2012 (2)
					46,701	I	

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Common Stock				by Kellie L. Banks LTT ⁽²⁾
Common Stock	3,977,445	I		by Kapital Joe ⁽²⁾
Common Stock	354,654	I		by JPK 2009 ⁽²⁾
Common Stock	354,653	I		by MGK 2009 ⁽²⁾
Common Stock	2,235	I		by ZSK 2009 ⁽²⁾
Common Stock	302,954	I		by JPK 2008 ⁽²⁾
Common Stock	302,954	I		by MGK 2008 ⁽²⁾
Common Stock	302,954	I		by ZSK 2008 ⁽²⁾
Common Stock	11,317	I		by Lotus Capital ⁽²⁾
Common Stock	216,795	I		by Staff 2001 ⁽²⁾
Common Stock	131,144	I		by Sr Staff 2006 ⁽²⁾
Common Stock	65,572	I		by Staff 2006 ⁽²⁾
Common Stock	21,858	I		by Incentive 2006 ⁽²⁾
Common Stock	3,562,388	D		

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

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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	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	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Own
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Security

Acquired
(A) or
Disposed
of (D)
(Instr. 3,
4, and 5)

Follo
Repo
Trans
(Instr

Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
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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

07/26/2017

**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) On July 24, 2017, New River Management V, LP ("NRM V") 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 dated May 11, 2007. NRM V held 6,328,853 shares of common stock of the issuer. The following entities in their capacities as partners of NRM V, or designees, received shares: R.J. Kirk Declaration of Trust ("R.J. Kirk DOT") and Third Security Capital Partners V, LLC ("TSCP V").

Randal J. Kirk controls each of R.J. Kirk DOT, TSCP V, JPK 2012, LLC ("JPK 2012"), Kellie L. Banks (2009) Long Term Trust ("Kellie L. Banks LTT"), Kapital Joe, LLC ("Kapital Joe"), JPK 2009, LLC ("JPK 2009"), MGK 2009, LLC ("MGK 2009"), ZSK 2009, LLC ("ZSK 2009"), JPK 2008, LLC ("JPK 2008"), MGK 2008, LLC ("MGK 2008"), ZSK 2008, LLC ("ZSK 2008"), Lotus Capital (2000) Company, Inc. ("Lotus Capital"), Third Security Staff 2001 LLC ("Staff 2001"), Third Security Senior Staff 2006 LLC ("Sr Staff 2006"), Third Security Staff 2006 LLC ("Staff 2006") and Third Security Incentive 2006 LLC ("Incentive 2006"). 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.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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