Cherevka Holli Form 3 September 21, 2017

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

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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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

**SECURITIES** 

30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement Ampio Pharmaceuticals, Inc. [AMPE] Cherevka Holli (Month/Day/Year) 09/19/2017 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) C/O AMPIO (Check all applicable) PHARMACEUTICALS, INC.. 373 INVERNESS 10% Owner Director PARKWAY, SUITE 200 \_X\_\_ Officer Other (give title below) (specify below) (Street) 6. Individual or Joint/Group Chief Operating Officer Filing(Check Applicable Line) \_X\_ Form filed by One Reporting Person ENGLEWOOD, Â COÂ 80112 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 4. Nature of Indirect Beneficial 1. Title of Security 2. Amount of Securities Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) (Instr. 5) Form: Direct (D) or Indirect (Instr. 5) Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

currently valid OMB control number.

3. Title and Amount of 1. Title of Derivative Security 2. Date Exercisable and 5. 6. Nature of Indirect 4. **Expiration Date** Securities Underlying Conversion Ownership Beneficial Ownership (Instr. 4) (Month/Day/Year) or Exercise Form of (Instr. 5) **Derivative Security** (Instr. 4) Price of Derivative Derivative Security:

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Stock Option (Right to Buy)	(1)	01/14/2023	Common Stock	35,000	\$ 4.16	D	Â
Stock Option (Right to Buy)	(2)	04/02/2023	Common Stock	45,000	\$ 4.72	D	Â
Stock Option (Right to Buy)	(3)	11/08/2023	Common Stock	80,000	\$ 8.62	D	Â
Stock Option (Right to Buy)	(4)	10/06/2024	Common Stock	30,000	\$ 3.43	D	Â
Stock Option (Right to Buy)	(5)	07/15/2026	Common Stock	170,000	\$ 1.03	D	Â
Stock Option (Right to Buy)	(6)	08/08/2026	Common Stock	30,000	\$ 0.51	D	Â
Stock Option (Right to Buy)	(7)	09/19/2027	Common Stock	200,000	\$ 0.55	D	Â

## **Reporting Owners**

Reporting Owner Name / Address	Relationships				
	Director	10% Owner	Officer	Other	
Cherevka Holli C/O AMPIO PHARMACEUTICALS, INC. 373 INVERNESS PARKWAY, SUITE 200 ENGLEWOOD Â COÂ 80112	Â	Â	Chief Operating Officer	Â	

### **Signatures**

/s/ Holli Cherevka	09/21/2017		
**Signature of Reporting Person	Date		

# **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, *see* Instruction 5(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).
- The Stock Options vested and became exercisable in four installments. 1/4th of the options vested on the grant date of January 14, 2013, (1) 1/4 th of the options vested on January 14, 2014, 1/4th of the options vested on January 14, 2015 and 1/4th of the options vested on January 14, 2016.
- The Stock Options vested and became exercisable in four installments. 1/4th of the options vested on the grant date of April 2, 2013, 1/4 (2) th of the options vested on January 14, 2014, 1/4th of the options vested on January 14, 2015 and 1/4th of the options vested on January 14, 2016.
- (3) The Stock Options vested and became exercisable monthly over 36 months in equal installments.
- (4) The Stock Options vested and became exercisable in two installments. 1/2 of the options vested on the grant date of October 6, 2014, and 1/2th of the options vested on October 6, 2015.

Reporting Owners 2

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- (5) The Stock Options vest and become exercisable in three installments. 1/3rd of the options vested on the grant date of July 15, 2016, 1/3rd of the options vested on July 15, 2017 and 1/3rd of the options vest on July 15, 2018.
- (6) The Stock Options vest and become exercisable immediately.
- (7) The Stock Options vest and become exercisable in two equal installments. 1/2 of the options vested on the grant date of September 19, 2017; and the additional 1/2 of the options shall vest on September 19, 2018.

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.