

SARIN ARADHANA
Form 3
February 19, 2019

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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 *

Â SARIN ARADHANA

(Last) (First) (Middle)

C/O ALEXION
PHARMACEUTICALS,
INC.,Â 121 SEAPORT
BOULEVARD

(Street)

BOSTON,Â MAÂ 02210

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

02/19/2019

3. Issuer Name and Ticker or Trading Symbol

ALEXION PHARMACEUTICALS, INC. [ALXN]

4. Relationship of Reporting Person(s) to Issuer

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

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer ☐ Other
(give title below) (specify below)
Chief Strategy & Business Off

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 Beneficially Owned

1. Title of Security
(Instr. 4)

2. Amount of Securities Beneficially Owned
(Instr. 4)

3. Ownership Form:
Direct (D)
or Indirect (I)
(Instr. 5)

4. Nature of Indirect Beneficial Ownership
(Instr. 5)

Common Stock, par value \$.0001 per share	10,478 ⁽¹⁾	D	Â
Common Stock, par value \$.0001 per share	8,731 ⁽²⁾	D	Â
Common Stock, par value \$.0001 per share	3,378 ⁽³⁾	D	Â
Common Stock, par value \$.0001 per share	209	D	Â

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

SEC 1473 (7-02)

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

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

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
SARIN ARADHANA C/O ALEXION PHARMACEUTICALS, INC. 121 SEAPORT BOULEVARD BOSTON, MA 02210	Â	Â	Â Chief Strategy & Business Off	Â

Signatures

/s/ Douglas Barry, Attorney-in-Fact for Aradhana Sarin

02/19/2019

__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).

- (1) Award of Restricted Stock Units under the 2017 Incentive Plan. 50% vests on each anniversary of the grant date (November 29, 2017).
- (2) Award of Restricted Stock Units under the 2017 Incentive Plan. 25% of the shares vest on each anniversary of the grant date (November 29, 2017).
- (3) Award of Restricted Stock Units under the 2017 Incentive Plan. 25% of the shares vest on each anniversary of the grant date (February 28, 2018).

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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