

BRYCE RICHARD PAUL

Form 4

September 08, 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

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(Print or Type Responses)

1. Name and Address of Reporting Person *
BRYCE RICHARD PAUL

2. Issuer Name **and** Ticker or Trading
Symbol
PUMA BIOTECHNOLOGY, INC.
[PBYI]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)
C/O PUMA BIOTECHNOLOGY,
INC., 10880 WILSHIRE BLVD.,
SUITE 2150

3. Date of Earliest Transaction
(Month/Day/Year)
09/06/2017

____ Director ____ 10% Owner
____X____ Officer (give title ____ Other (specify
below) below)
SR VP, CLINICAL RESEARCH & DEV

(Street)

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

6. Individual or Joint/Group Filing(Check
Applicable Line)
____X____ Form filed by One Reporting Person
____ Form filed by More than One Reporting
Person

LOS ANGELES, CA 90024

(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. 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	09/06/2017		M		1,000	A	\$ 11.3	28,239	D	
COMMON STOCK	09/06/2017		S ⁽¹⁾		1,000	D	\$ 100	27,239	D	
COMMON STOCK	09/07/2017		M		14,000	A	\$ 11.3	41,239	D	
COMMON STOCK	09/07/2017		S ⁽¹⁾		14,000	D	\$ 100.1	27,239	D	

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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 (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)	Amount or Number of Shares
STOCK OPTION (RIGHT TO BUY)	\$ 11.3	09/06/2017		M	1,000	<u>(2)</u> 06/26/2022	COMMON STOCK	1,000
STOCK OPTION (RIGHT TO BUY)	\$ 11.3	09/07/2017		M	14,000	<u>(2)</u> 06/26/2022	COMMON STOCK	14,000

Reporting Owners

Reporting Owner Name / Address	Relationships
BRYCE RICHARD PAUL C/O PUMA BIOTECHNOLOGY, INC. 10880 WILSHIRE BLVD., SUITE 2150 LOS ANGELES, CA 90024	Director 10% Owner Officer Other SR VP, CLINICAL RESEARCH & DEV

Signatures

/s/ Richard Paul
Bryce 09/08/2017

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) The sales reported in this Form 4 were effected pursuant to a 10b5-1 trading plan adopted by the Reporting Person.

(2) The option is fully vested and is exercisable.

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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