

ANIDO VICENTE JR

Form 4

June 08, 2018

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 *
ANIDO VICENTE JR

(Last) (First) (Middle)

C/O AERIE
PHARMACEUTICALS, INC., 4301
EMPEROR BLVD., SUITE 400

(Street)

DURHAM, NC 27703

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading
Symbol
AERIE PHARMACEUTICALS INC
[AERI]

3. Date of Earliest Transaction
(Month/Day/Year)
06/06/2018

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)
Chief Executive Officer

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)
Common Stock	06/06/2018		M	50,000	A \$ 2.9	176,320	D
Common Stock	06/06/2018		S	45,662	D \$ 60.4442 (1)	130,658	D
Common Stock	06/06/2018		S	4,338	D \$ 61.0981 (2)	126,320	D
Common	06/07/2018		M	50,000	A \$ 2.9	176,320	D

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Stock

Common Stock	06/07/2018	S	33,614	D	\$ (3) 62.0562	142,706	D
Common Stock	06/07/2018	S	16,386	D	\$ (4) 62.8031	126,320	D
Common Stock	06/08/2018	M	23,861	A	\$ 2.9	150,181	D
Common Stock	06/08/2018	M	26,139	A	\$ 3.15	176,320	D
Common Stock	06/08/2018	S	20,283	D	\$ (5) 63.3498	156,037	D
Common Stock	06/08/2018	S	29,717	D	\$ (6) 64.5207	126,320	D

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)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Option (Right to Buy)	\$ 2.9	06/06/2018		M		50,000		12/21/2016	03/21/2023	Common Stock	50,000
Option (Right to Buy)	\$ 2.9	06/07/2018		M		50,000		12/21/2016	03/21/2023	Common Stock	50,000
Option (Right to	\$ 2.9	06/08/2018		M		23,861		12/21/2016	03/21/2023	Common Stock	23,861

Buy)

Option

(Right to Buy)	\$ 3.15	06/08/2018	M	26,139	09/12/2017	09/12/2023	Common Stock	26,139
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Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
ANIDO VICENTE JR C/O AERIE PHARMACEUTICALS, INC. 4301 EMPEROR BLVD., SUITE 400 DURHAM, NC 27703	X		Chief Executive Officer	

Signatures

/s/ Richard J. Rubino, Attorney-in-Fact for Vicente Anido, Jr.

06/08/2018

**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 price reported in Column 4 is a weighted average price. These shares were sold pursuant to the reporting person's Rule 10b5-1 plan in multiple transactions at prices ranging from \$60.00 to \$60.975, inclusive. The reporting person undertakes to provide the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in the footnotes to this Form 4.
- (2) The price reported in Column 4 is a weighted average price. These shares were sold pursuant to the reporting person's Rule 10b5-1 plan in multiple transactions at prices ranging from \$61.00 to \$61.20, inclusive.
- (3) The price reported in Column 4 is a weighted average price. These shares were sold pursuant to the reporting person's Rule 10b5-1 plan in multiple transactions at prices ranging from \$61.50 to \$62.425, inclusive.
- (4) The price reported in Column 4 is a weighted average price. These shares were sold pursuant to the reporting person's Rule 10b5-1 plan in multiple transactions at prices ranging from \$62.45 to \$63.325, inclusive.
- (5) The price reported in Column 4 is a weighted average price. These shares were sold pursuant to the reporting person's Rule 10b5-1 plan in multiple transactions at prices ranging from \$62.95 to \$63.85, inclusive.
- (6) The price reported in Column 4 is a weighted average price. These shares were sold pursuant to the reporting person's Rule 10b5-1 plan in multiple transactions at prices ranging from \$64.20 to \$65.00, inclusive.

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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