

INTERCEPT PHARMACEUTICALS INC
Form 4
August 12, 2014

FORM 4

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
VEITINGER KLAUS R DR

2. Issuer Name and Ticker or Trading Symbol
INTERCEPT
PHARMACEUTICALS INC [ICPT]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)
08/09/2014

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

C/O INTERCEPT
PHARMACEUTICALS, INC., 450
W. 15TH STREET, SUITE 505

(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

NEW YORK, NY 10011

(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 Ownership (Instr. 4) | | | |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|--|-------|---|--|
| | | | Code | V | Amount (A) or (D) Price | | | | | |
| Common Stock | 08/09/2014 | | M | | 324 ⁽³⁾ | A | \$ 234.71 | 2,330 | D | |
| Common Stock | 08/11/2014 | | S ⁽¹⁾ | | 64 | D | \$ 238.25 | 2,266 | D | |
| Common Stock | 08/11/2014 | | S ⁽¹⁾ | | 6 | D | \$ 238.26 | 2,260 | D | |
| Common Stock | 08/11/2014 | | S ⁽¹⁾ | | 93 | D | \$ 238.26 | 2,167 | D | |
| Common Stock | 08/11/2014 | | S ⁽¹⁾ | | 1 | D | | 2,166 | D | |

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| | | | | | | | |
|--------------|------------|--|------------------|-----|----|-----------|---------|
| Common Stock | | | | | \$ | 238.28 | |
| Common Stock | 08/11/2014 | | M ⁽¹⁾ | 391 | A | \$ 21.5 | 2,557 D |
| Common Stock | 08/11/2014 | | S ⁽¹⁾ | 391 | D | \$ 239.49 | 2,166 D |

Reminder: Report on a separate line for each class of securities beneficially 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 currently valid OMB control number.

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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) | 8. F. Derivative Securities (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|
| | | | | Code | V (A) (D) | Date Exercisable Expiration Date | Title | Amount or Number of Shares |
| Restricted Stock Units | (2) | 08/09/2014 | | M | 324 (3) | (3) (3) | Common Stock | 324 |
| Options to Purchase Common Stock | \$ 21.5 | 08/11/2014 | | M | 391 | (4) 11/16/2022 | Common Stock | 391 |

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

VEITINGER KLAUS R DR
C/O INTERCEPT PHARMACEUTICALS, INC.
450 W. 15TH STREET, SUITE 505
NEW YORK, NY 10011

X

Signatures

/s/ Bryan Yoon, as
attorney-in-fact

08/12/2014

__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 reported transaction was made pursuant to a Rule 10b5-1 plan adopted by the reporting person either on June 26, 2013 or May 13, 2014.
- (2) Conversion of restricted stock units ("RSU") to shares of common stock on a one-for one-basis.
On November 16, 2012, the reporting person was granted 2,596 RSUs. The RSUs reported as having been disposed and the
- (3) corresponding shares reported as having been acquired, representing 12.5% of the shares underlying the RSUs, became vested on August 9, 2014, subject to the terms and conditions of the award and the Intercept Pharmaceuticals, Inc. 2012 Equity Incentive Plan.
- (4) All shares underlying this option have vested.

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.