

Intra-Cellular Therapies, Inc.
Form 3
September 09, 2013

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 Mates Sharon

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

08/29/2013

3. Issuer Name **and** Ticker or Trading Symbol
Intra-Cellular Therapies, Inc. [NONE]

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)

Chairman, President & CEO

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting Person

☐ Form filed by More than One Reporting Person

C/O INTRA-CELLULAR
THERAPIES, INC.,Â 3960
BROADWAY

(Street)

NEW YORK,Â NYÂ 10032

(City)

(State)

(Zip)

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

1,053,935

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)

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

5. Ownership Form of Derivative Security:

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

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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)	Â <u>(1)</u>	12/19/2014	Common Stock	50,000	\$ 0.5	D	Â
Stock Option (right to buy)	Â <u>(1)</u>	12/14/2015	Common Stock	25,000	\$ 0.6	D	Â
Stock Option (right to buy)	Â <u>(1)</u>	12/05/2016	Common Stock	25,000	\$ 1.36	D	Â
Stock Option (right to buy)	Â <u>(1)</u>	12/12/2017	Common Stock	37,500	\$ 1.5	D	Â
Stock Option (right to buy)	Â <u>(1)</u>	12/18/2018	Common Stock	50,000	\$ 1.5	D	Â
Stock Option (right to buy)	Â <u>(1)</u>	06/10/2020	Common Stock	50,000	\$ 2.74	D	Â
Stock Option (right to buy)	Â <u>(2)</u>	12/21/2020	Common Stock	50,000	\$ 2.74	D	Â
Stock Option (right to buy)	Â <u>(3)</u>	04/30/2022	Common Stock	50,000	\$ 2.84	D	Â
Stock Option (right to buy)	Â <u>(4)</u>	05/30/2023	Common Stock	50,000	\$ 3.26	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships				Other
	Director	10% Owner	Officer		
Mates Sharon C/O INTRA-CELLULAR THERAPIES, INC. 3960 BROADWAY NEW YORK, NY 10032	Â X	Â	Â Chairman, President & CEO	Â	

Signatures

/s/ Sharon
Mates, Ph.D. 09/09/2013

 **Signature of Date
Reporting Person

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) All shares underlying this option have vested.
- (2) The option vests as to one third of the shares on December 22, 2011, one third of the shares on December 22, 2012 and one third of the shares on December 22, 2013.

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- (3) The option vests as to one third of the shares on December 20, 2012, one third of the shares on December 20, 2013 and one third of the shares on December 20, 2014.
- (4) The option vests as to one third of the shares on December 20, 2013, one third of the shares on December 20, 2014 and one third of the shares on December 20, 2015.

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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