Edgar Filing: ARROWHEAD RESEARCH CORP - Form 4

ARROWHEAD RESEARCH CORP

Form 4

February 10, 2014

FORM 4

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

OMB Number:

Issuer

below)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

Securities

Owned

Beneficially

Following

Director

Applicable Line)

X_ Officer (give title

OMB APPROVAL

Expires:

response...

5. Relationship of Reporting Person(s) to

(Check all applicable)

CFO

6. Individual or Joint/Group Filing(Check

(D) or

D

Indirect (I)

(Instr. 4)

X Form filed by One Reporting Person

below)

10% Owner

6. Ownership 7. Nature of

Beneficial

Ownership

(Instr. 4)

SEC 1474

(9-02)

Form: Direct Indirect

Other (specify

Estimated average

burden hours per

3235-0287

January 31,

2005

0.5

if no longer subject to Section 16. Form 4 or Form 5

obligations

Check this box

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

may continue. See Instruction

1(b).

(Last)

(City)

Common

Stock

(Print or Type Responses)

1. Name and Address of Reporting Person *

Myszkowski Kenneth Allen

2. Issuer Name and Ticker or Trading

Symbol

ARROWHEAD RESEARCH CORP

[ARWR]

(Month/Day/Year)

(First) (Middle)

(Zip)

225 SOUTH LAKE AVENUE. **SUITE 1050**

(Street)

(State)

02/06/2014

02/06/2014

4. If Amendment, Date Original

3. Date of Earliest Transaction

Filed(Month/Day/Year)

3.

Form filed by More than One Reporting

PASADENA, CA 91101

1. Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3)

(Month/Day/Year)

Transaction(A) or Disposed of Code (D) (Instr. 3, 4 and 5) (Instr. 8)

Reported (A) Transaction(s) or (Instr. 3 and 4) Price (D)

4. Securities Acquired 5. Amount of

Code V Amount 70,000 \$0 A (2)

(1)

71,500

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.

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

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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. Transactic Code (Instr. 8)	5. Number of orDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exer Expiration D (Month/Day/	ate	7. Title and Underlying S (Instr. 3 and	Securities
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Options	\$ 14.54	02/06/2014		A	50,000	(3)	02/06/2024	Common Stock	50,000

Reporting Owners

Reporting Owner Name / Address	Relationships					
Reporting Owner Paume / Paumess	Director	10% Owner	Officer	Other		
Myszkowski Kenneth Allen 225 SOUTH LAKE AVENUE, SUITE 1050 PASADENA, CA 91101			CFO			

Signatures

Kenneth Allen
Myszkowski

**Signature of Reporting

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) Represents shares underlying restricted stock unit, which shares will vest over a two year period from date of grant.
- (2) Not applicable.
- (3) Option vests and becomes exercisable over a four year period from date of grant.
- (4) Includes shares underlying other options previously granted.

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.

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