

Emergent BioSolutions Inc.  
Form 4  
January 12, 2017

# 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 \*  
Abdun-Nabi Daniel

(Last) (First) (Middle)

400 PROFESSIONAL DR, SUITE 400

(Street)

GAITHERSBURG, MD 20879

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol

Emergent BioSolutions Inc. [EBS]

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

01/10/2017

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)

President and CEO

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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
|                                 |                                      |  | Code                           | V   | Amount or Price   |  |   |
| Common Stock <sup>(1)</sup>     | 08/01/2016                           |  | J                              |   | 1,979 A \$ 0  | 172,945  | D   |
| Common Stock <sup>(2)</sup>     | 08/01/2016                           |  | J                              |   | 3,032 A \$ 0  | 175,977  | D   |
| Common Stock <sup>(3)</sup>     | 08/01/2016                           |  | J                              |   | 3,419 A \$ 0  | 179,396  | D   |
| Common Stock                    | 01/10/2017                           |  | M                              |   | 38,006 <sup>(4)</sup> A \$ 14.51  | 217,402  | D   |
| Common Stock                    | 01/10/2017                           |  | S                              |   | 28,240 <sup>(4)</sup> D \$ 31.2782 <sup>(5)</sup>   | 189,162  | D   |

## Edgar Filing: Emergent BioSolutions Inc. - Form 4

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) | 8. Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|
| Stock Option (Right to buy) <sup>(6)</sup> | \$ 14.51   | 08/01/2016                           |  | J                              | 3,662   | <sup>(8)</sup> 03/08/2017                                | Common Stock  | 3,662                         |
| Stock Option (Right to buy) <sup>(7)</sup> | \$ 14.51   | 01/10/2017                           |  | M                              | 38,006  | <sup>(8)</sup> 03/08/2017                                | Common Stock  | 38,006                        |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |                   |       |
|---|---------------|-----------|-------------------|-------|
|   | Director      | 10% Owner | Officer           | Other |
| Abdun-Nabi Daniel<br>400 PROFESSIONAL DR, SUITE 400<br>GAITHERSBURG, MD 20879 | X             |           | President and CEO |       |

## Signatures

/s/ Eric Burt,  
Attorney-in-fact

01/10/2017

\*\*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).

In connection with the spin-off (the "Spin-off") of Aptevo Therapeutics Inc. from Emergent BioSolutions Inc. ("Emergent"), on August 1, 2016 the reporting person received a grant of restricted stock units as a result of an adjustment to an existing Emergent restricted stock unit grant held by the reporting person prior to the Spin-off. The restricted stock units vest in March 2017.

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(2) In connection with the spin-off on August 1, 2016 the reporting person received a grant of restricted stock units as a result of an adjustment to an existing Emergent restricted stock unit grant held by the reporting person prior to the spin-off. The restricted stock units vest in March 2017 and March 2018.

(3) In connection with the spin-off the reporting person received a grant of restricted stock units as a result of an adjustment to an existing Emergent restricted stock unit grant held by the reporting person prior to the spin-off. The restricted stock units vest in March 2017, March 2018 and March 2019.

(4) The transactions reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by Mr. Abdun-Nabi.

(5) The price reported is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$30.91 to \$32.26, inclusive.

(6) Represents options to purchase Emergent common stock awarded to the reporting person prior to the Spin-off . In connection with the Spin-off, the number of shares and exercise price of the option was adjusted, to preserve the pre-Spin-off intrinsic value of the existing Emergent option award.

(7) Consists of an option granted under the company's stock incentive plan as amended and restated prior to the Spin-off.

(8) The option grant vests in three equal installments on the day prior to the first, second and third anniversary dates of the grant.

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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