

NOVO NORDISK A S  
Form 6-K  
February 07, 2018

**UNITED STATES**

**SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

---

**FORM 6-K**

---

**REPORT OF FOREIGN PRIVATE ISSUER**

Pursuant to Rule 13a-16 or 15d-16  
of the Securities Exchange Act of 1934

February 7, 2018

---

**NOVO NORDISK A/S**

(Exact name of Registrant as specified in its charter)

**Novo Allé**

**DK- 2880, Bagsvaerd**

**Denmark**

Edgar Filing: NOVO NORDISK A S - Form 6-K

(Address of principal executive offices)

\_\_\_\_\_

Indicate by check mark whether the registrant files or will file annual reports under cover of Form 20-F or Form 40-F

Form 20-F       Form 40-F

Indicate by check mark whether the registrant by furnishing the information contained in this Form is also thereby furnishing the information to the Commission pursuant to Rule 12g3-2(b) under the Securities Exchange Act of 1934.

Yes       No

If "Yes" is marked, indicate below the file number assigned to the registrant in connection with Rule 12g-32(b):82-\_\_\_\_\_

**Trading in Novo Nordisk shares by board members, executives and associated persons on 5 February 2018**

**Bagsværd, Denmark, 7 February 2018** — This document discloses the data of the transaction(s) made in Novo Nordisk shares by the company's board members, executives and their associated persons in accordance with Article 19 of Regulation No. 596/2014 on market abuse.

The company's board members, executives and their associated persons have given Novo Nordisk power of attorney on their behalf to publish trading in Novo Nordisk shares by the company's board members, executives and their associated persons.

Please find below a statement of such trading in shares issued by Novo Nordisk.

**1 Details of the person discharging managerial responsibilities/person closely associated**

a) Name of the Board member/Executive/Associated Person      Novo Holdings A/S

**2 Reason for the notification**

a) Position/status      Associated person to Kasim Kutay, member of the Board of Directors  
b) Initial notification/Amendment      Initial notification

**3 Details of the issuer**

a) Name      Novo Nordisk A/S  
b) LEI      549300DAQ1CVT6CXN342

**4 Details of the transaction(s)**

a) Description of the financial instrument, type of instrument, Shares

Page 2 of 3

|                              |                                |                  |
|------------------------------|--------------------------------|------------------|
| Identification code          | Novo Nordisk B<br>DK0060534915 |                  |
| b) Nature of the transaction | Sale of shares                 |                  |
| c) Price(s) and volume(s)    | Price(s)                       | Volume(s)        |
|                              | DKK 308.90                     | 3,087,410 shares |
| d) Aggregated information    |                                |                  |
| - Aggregated volume          | 3,087,410 shares               |                  |
| - Price                      | DKK 308.90                     |                  |
| e) Date of the transaction   | 5 February 2018                |                  |
| f) Place of the transaction  | Outside a trading venue        |                  |

### **Definitions and background information:**

#### **Publication**

Publication shall take place no later than three working days after the trading by board members, executives or their associated persons. Publication is only required when the total amount of transactions of a specific board member/executive and his/her associated persons in any one calendar year has reached 20,000 EUR.

#### **Who are board members, executives and associated persons?**

Board members and executives are members of the Board of Directors and Executive Management, respectively, of Novo Nordisk A/S. Associated persons are defined as the following persons associated to a board member/executive: 1) spouse or cohabitant, 2) children under the age of 18 years, 3) Other relatives defined as brothers, sisters, parents, grandparents, children, grandchildren, cousins etc. who have shared the same household with a board member or executive for a period of at least one year on the date of the given transaction and 4) any legal persons, trust, or partnership, the managerial responsibilities of which are discharged by a board member/executive or by a person referred to in items 1)-3) above, or which is directly or indirectly controlled by such a person, or which is set up for the benefit of such a person, or the economic interests of which are substantially equivalent to those of such a person.

#### **What is trading/transaction?**

Edgar Filing: NOVO NORDISK A S - Form 6-K

Trading is any kind of transaction, including shares and share related securities purchased or otherwise acquired, sold or otherwise disposed, gifts, mortgages, heritage and grants, allotments and exercise of options.

**What is financial instrument and ID code?**

Financial instrument includes shares listed on the Nasdaq Copenhagen and ADRs listed on New York Stock Exchange, except for ADRs held in 401(k) retirement plan by US-based employees. The ID code is the code (ISIN DK0060534915) of the Novo Nordisk share on the Nasdaq Copenhagen or the code (NVO) on New York Stock Exchange.

**What is date and place of transaction?**

Date of transaction is the actual transaction date. The place of transaction is the actual place of transaction, i.e. Nasdaq Copenhagen or New York Stock Exchange.

**What is the volume and price of transaction and aggregated information?**

The volume of transaction is the number of shares (of DKK 0.20 nominal value) or other financial instruments traded. In case of a single transaction the price is the price of that single transaction. In case of multiple transactions, when the transactions relates to the same financial instrument, are of the same nature, are executed on the same day and are executed on the same place, the volume must be aggregated. The price of the aggregated transactions is the weighted average price.

The exchange rate of the Danish Central Bank (Nationalbanken) on the date of transaction is used for calculating the transaction value in DKK in case of ADRs listed on New York Stock Exchange.

*Novo Nordisk is a global healthcare company with 95 years of innovation and leadership in diabetes care. This heritage has given us experience and capabilities that also enable us to help people defeat obesity, haemophilia, growth disorders and other serious chronic diseases. Headquartered in Denmark, Novo Nordisk employs approximately 42,100 people in 79 countries and markets its products in more than 170 countries. Novo Nordisk's B shares are listed on Nasdaq Copenhagen (Novo-B). Its ADRs are listed on the New York Stock Exchange (NVO). For more information, visit [novonordisk.com](http://novonordisk.com), Facebook, Twitter, LinkedIn, YouTube*

**Further information**

*Media:*

Edgar Filing: NOVO NORDISK A S - Form 6-K

Katrine Sperling +45 4442 6718 krsp@novonordisk.com  
Ken Inchausti (US) +1 609 786 8316 kiau@novonordisk.com

*Investors:*

Peter Hugrefte Ankersen +45 3075 9085 phak@novonordisk.com  
Hanna Ögren +45 3079 8519 haoe@novonordisk.com  
Anders Mikkelsen +45 3079 4461 armk@novonordisk.com  
Christina Kjær +45 3079 3009 cnje@novonordisk.com  
Kasper Veje (US) +1 609 235 8567 kpvj@novonordisk.com

**Novo Nordisk A/S** Novo Allé  
Investor Relations 2880 Bagsværd  
Denmark  
Telephone: +45 4444 8888  
Internet: www.novonordisk.com  
CVR no: 24 25 67 90

Company announcement No 11 / 2018



**SIGNATURES**

Pursuant to the requirements of the Securities Exchange Act of 1934, the Registrant has duly caused this report to be signed on its behalf of the undersigned, thereunto duly authorized.

NOVO NORDISK A/S

Date: February 7, 2018

Lars Fruergaard Jørgensen

Chief Executive Officer