

INTERCEPT PHARMACEUTICALS INC

Form 4

November 05, 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 *
Pruzanski Mark

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)
 Director 10% Owner
 Officer (give title below) Other (specify below)
CEO & President

(Last) (First) (Middle)

3. Date of Earliest Transaction
(Month/Day/Year)
11/03/2014

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. 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	11/03/2014		M ⁽¹⁾		10,000	A	\$ 8.6667
Common Stock	11/03/2014		S ⁽¹⁾		100	D	\$ 247.66
Common Stock	11/03/2014		S ⁽¹⁾		100	D	\$ 249.69
Common Stock	11/03/2014		S ⁽¹⁾		384	D	\$ 250.8021
							(3)

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Common Stock	11/03/2014	<u>S⁽¹⁾</u>	300	D	\$ 252.9 <u>(4)</u>	489,025	D
Common Stock	11/03/2014	<u>S⁽¹⁾</u>	500	D	\$ 254.2915 <u>(5)</u>	488,525	D
Common Stock	11/03/2014	<u>S⁽¹⁾</u>	300	D	\$ 255.2967 <u>(6)</u>	488,225	D
Common Stock	11/03/2014	<u>S⁽¹⁾</u>	200	D	\$ 256.5375 <u>(7)</u>	488,025	D
Common Stock	11/03/2014	<u>S⁽¹⁾</u>	400	D	\$ 257.96 <u>(8)</u>	487,625	D
Common Stock	11/03/2014	<u>S⁽¹⁾</u>	1,100	D	\$ 259.4727 <u>(9)</u>	486,525	D
Common Stock	11/03/2014	<u>S⁽¹⁾</u>	3,166	D	\$ 260.676 <u>(10)</u>	483,359	D
Common Stock	11/03/2014	<u>S⁽¹⁾</u>	2,950	D	\$ 261.7064 <u>(11)</u>	480,409	D
Common Stock	11/03/2014	<u>S⁽¹⁾</u>	500	D	\$ 262.462 <u>(12)</u>	479,909	D

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)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Options to	\$ 8.6667	11/03/2014		<u>M⁽¹⁾</u>	10,000	<u>(2)</u>	07/20/2020	Common Stock	10,000

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This transaction was executed in multiple trades at prices ranging from \$261.24 to \$262.15. The price reported above reflects the weighted average sale price. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transaction was effected.

- (12) This transaction was executed in multiple trades at prices ranging from \$262.44 to \$262.49. The price reported above reflects the weighted average sale price. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transaction was effected.

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.