SEC Form 4

FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OMB APPROVAL

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Instruction 1(b)).		Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934	4				
			or Section 30(h) of the Investment Company Act of 1940	· · · · · · · · · · · · · · · · · · ·				
1. Name and Address of Reporting Person* Marken James G. (Last) (First) (Middle) C/O ANI PHARMACEUTICALS, INC. 210 MAIN STREET WEST (Street) BAUDETTE MN 56623 (City) (State) (Zip)		(Middle) ICALS, INC.	2. Issuer Name and Ticker or Trading Symbol <u>ANI PHARMACEUTICALS INC</u> [ANIP] 3. Date of Earliest Transaction (Month/Day/Year) 04/06/2020	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner X Officer (give title Other (specify below) below) SVP Ops & Prod Dev				
			4. If Amendment, Date of Original Filed (Month/Day/Year)	 6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person 				
Table L. Non-Derivative Securities Acquired Disposed of or Beneficially Owned								

Table 1- Non-Derivative Securities Acquired, Disposed of, or Derivitiany Owned										
1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transa Code (8)					5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150.4)
Common Stock	04/06/2020		F ⁽¹⁾		337	D	\$43.22	60,893	D	
Common Stock	04/07/2020		F ⁽²⁾		144	D	\$43.93	60,749	D	

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 1. Title of 2. Conversion 3. Transaction 3A. Deemed 5. Number 6. Date Exercisable and 7. Title and 8. Price of 9. Number of 10. 11. Nature Transaction Code (Instr. Ownership Derivative Date Execution Date, Expiration Date (Month/Day/Year) Amount of Derivative derivative of Indirect of (Month/Day/Year) Derivative Security (Instr. 3) or Exercise Price of if any (Month/Day/Year) Security (Instr. 5) Securities Beneficially Securities Form: **Beneficial** 8) Securities Underlying Direct (D) Ownership Derivative Acquired or Indirect (I) (Instr. 4) Derivative Owned (Instr. 4) (A) or Disposed Security (Instr. 3 and 4) Following Reported Security of (D) (Instr. 3, 4 and 5) Transaction(s) (Instr. 4) Amount or Number Date Expiration of v (D) Code (A) Exercisable Date Title Shares

Explanation of Responses:

1. Shares withheld for tax purposes exempt under Rule 16(b)-3 in connection with the vesting of 1,100 shares of restricted stock, which was previously reported.

2. Shares withheld for tax purposes exempt under Rule 16(b)-3 in connection with the vesting of 469 shares of restricted stock, which was previously reported.

<u>/s/ James G. Marken</u>

04/08/2020

** Signature of Reporting Person Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

* 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.