Edgar Filing: WHEELER CRAIG A - Form 4

| WHEELER Form 4 | CRAIG A | | | | | | | | | |
|---|--|--------|--------------------------------|--|-------------------|---|--|---|--|---|
| February 13 | 6, 2019 | | | | | | | | | |
| FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION | | | | | | | | APPROVAL | | |
| | | STATES | | | , D.C. 20 | | | | OMB Number: | 3235-0287 |
| Check tl if no lor subject t Section Form 4 Form 5 obligatio | NGES IN BENEFICIAL OWNERSHIP OF SECURITIES 16(a) of the Securities Exchange Act of 1934 Utility Holding Company Act of 1935 or Sect | | | | | January 31 Expires: 2005 Estimated average burden hours per response 0.5 | | | | |
| may cor See Inst 1(b). (Print or Type | ruction | 30(h) | of the Iı | ivestmen | t Compan | y Ac | t of 194 | 0 | | |
| (Finit of Type | Kesponses) | | | | | | | | | |
| 1. Name and A WHEELEF | 2. Issuer Name and Ticker or Trading Symbol MOMENTA PHARMACEUTICALS INC [MNTA] | | | | ıg | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X_ Director10% Owner | | | | |
| (Last) (First) (Middle) C/O MOMENTA PHARMACEUTICALS, INC., 301 BINNEY STREET | | | 3 Date of Farliest Transaction | | | | X_Officer (give title Other (specify below) below) President & CEO | | | |
| CAMBRID | (Street) DGE, MA 02142 | | | endment, D onth/Day/Yea | ate Origina r) | 1 | | 6. Individual or Jo Applicable Line) _X_ Form filed by 0 Form filed by M Person | One Reporting I | Person |
| (City) | (State) | (Zip) | Tab | le I - Non-J | Derivative | Secur | ities Acq | uired, Disposed of | , or Beneficia | ally Owned |
| 1.Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | | | 3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8) | | | quired of (D) | Securities Beneficially Owned Following Reported | 6. Ownership Form: Direct (D) or Indirect (I) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
| | | | | Code V | Amount | or (D) | Price | Transaction(s) (Instr. 3 and 4) | (Instr. 4) | |
| Common Stock | 02/12/2019 | | | S <u>(1)</u> | 1,773 | D | \$ 12.84 (2) | 181,800 | D | |
| Common Stock | 02/12/2019 | | | M <u>(3)</u> | 24,687 | A | <u>(4)</u> | 206,487 | D | |
| Common Stock | 02/13/2019 | | | S <u>(5)</u> | 11,110 | D | \$ 12.93 (6) | 195,377 | D | |

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| Common Stock | | | | | | 304,402 | 2 I | Craig Whee Revoc Trust | | |
|--|----------------|------------|---|---|---|--|---|---|-----------------|-----------------|
| Common Stock | | | | | | 36,725 | I | Craig Whee 2016 Annui Trust | ler | |
| Common Stock | | | | | | 60,000 | Ι | Craig Whee 2018 Annui Trust | ler | |
| Reminder: Re | port on a sepa | | of securities benefic ive Securities Acqui its, calls, warrants, o | Persons informat required displays number. red, Dispos | who respo ion contain to respond a currently sed of, or Ber | nd to the led in this l unless t v valid OM | IB control | | | |
| 1. Title of Derivative2.3. Transaction Date (Month/Day/Year)3A. DeemedSecurityConversion or Exercise(Month/Day/Year)Execution Date, if any(Instr. 3)Price of Derivative Security(Month/Day/Year) | | | 4. 5. Number of TransactionDerivative Securities Code Acquired (A) or (Instr. 8) Disposed of (D) (Instr. 3, 4, and 5) | | 6. Date Exercisable and Expiration Date (Month/Day/Year) | | 7. Title and Amo Underlying Secu (Instr. 3 and 4) | | | |
| | becurity | | | Code V | (A) | (D) | Date Exercisable | Expiration Date | Title | An Nu Sha |
| Stock Option (Right to Buy) | \$ 12.76 | 02/11/2019 | | А | 491,000 (7) | | (8) | 02/11/2029 | Common Stock | 49 |
| Restricted Stock Units | <u>(4)</u> | 02/12/2019 | | M <u>(3)</u> | | 24,687 | <u>(9)</u> | <u>(9)</u> | Common Stock | 2 |
| Donor | ting Ou | UD OKO | | | | | | | | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | |
|---------------------------------------|---------------|-----------|-----------|-------|--|--|
| | Director | 10% Owner | Officer | Other | | |
| WHEELER CRAIG A | Х | | President | | | |
| C/O MOMENTA PHARMACEUTICALS, INC. | | | & CEO | | | |
| 301 BINNEY STREET | | | | | | |

CAMBRIDGE, MA 02142

Signatures

/s/ R. Mark Chamberlin as attorney in fact

02/13/2019

Date

**Signature of Reporting Person

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) This transaction was effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person June 13, 2016.

This transaction was executed in multiple trades at prices ranging from \$12.75 to \$12.94. The price reported above reflects the weighted(2) 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 sold at each separate price within the ranges set forth in this footnote.

- (3) Shares received pursuant to settlement of Restricted Stock Units that were granted on February 12, 2018.
- (4) Restricted Stock Units convert into common stock on a one-for-one basis.
- (5) This transaction was effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person November 16, 2018.

This transaction was executed in multiple trades at prices ranging from \$12.66 to \$13.26. The price reported above reflects the weighted(6) 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 sold at each separate price within the ranges set forth in this footnote.

(7) Represents options granted by the issuer pursuant to the issuer's 2013 Incentive Award Plan, as amended and restated.

The stock option will vest and become exercisable with respect to 122,750 shares on the first anniversary of the grant date, and the **(8)** remainder will vest in equal quarterly installments over the subsequent three years. All vesting is subject to Craig Wheeler's continued

- service to the Company through the applicable vesting date.
- (9) Subject to the officer's continued employment with the company, the restricted stock units will vest with respect to 25% of the shares on the first anniversary of the grant date, and the remainder will vest in equal quarterly installments over the subsequent three years.

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.