

AERIE PHARMACEUTICALS INC

Form 4

February 16, 2017

FORM 4**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
DUYK GEOFFREY M

2. Issuer Name **and** Ticker or Trading
Symbol
AERIE PHARMACEUTICALS INC
[AERI]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)
C/O TPG GLOBAL, LLC, 301
COMMERCE STREET, SUITE
3300

3. Date of Earliest Transaction
(Month/Day/Year)
02/14/2017

☒ Director ☐ 10% Owner
☐ Officer (give title below) ☐ Other (specify below)

(Street)
FORT WORTH, TX 76102

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

(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. 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	(A) or (D)	Price		
Common Stock	02/14/2017		M		6,667	A	\$ 19.5	10,067	D
Common Stock	02/14/2017		F		2,770	D	\$ 46.95	7,297	D
Common Stock	02/14/2017		M		10,000	A	\$ 32.3	17,297	D
Common Stock	02/14/2017		F		6,880	D	\$ 46.95	10,417	D
	02/14/2017		M		13,500	A	\$ 17.55	23,917	D

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Common
Stock

Common Stock	02/14/2017	F	5,047	D	\$ 46.95	18,870	D
Common Stock	02/14/2017	M	28,000	A	\$ 3.15	46,870	D
Common Stock	02/14/2017	F	1,879	D	\$ 46.95	44,991	D
Common Stock	02/14/2017	S	20,795	D	\$ 46.4563 (1)	24,196	D
Common Stock	02/15/2017	S	20,796	D	\$ 46.8089 (2)	3,400	D

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

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SEC 1474
(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)	\$ 19.5	02/14/2017		M	6,667	(3) 06/08/2026	Common Stock	6,667
Stock Option (right to buy)	\$ 32.3	02/14/2017		M	10,000	(4) 04/10/2025	Common Stock	10,000
Stock Option (right to buy)	\$ 17.55	02/14/2017		M	13,500	(5) 06/11/2024	Common Stock	13,500

Stock Option (right to buy)	\$ 3.15	02/14/2017	M	28,000	<u>(6)</u>	09/12/2023	Common Stock	28,000
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Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
DUYK GEOFFREY M C/O TPG GLOBAL, LLC 301 COMMERCE STREET, SUITE 3300 FORT WORTH, TX 76102			X	

Signatures

/s/ Richard J. Rubino, Attorney-in-Fact for Geoffrey M. Duyk	02/16/2017
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__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).

(1) The price reported in Column 4 is a weighted average price. These shares were purchased in multiple transactions at prices ranging from \$46.20 to \$47.05, inclusive. The reporting person undertakes to provide the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares purchased at each separate price within the range set forth in this footnote.

(2) The price reported in Column 4 is a weighted average price. These shares were purchased in multiple transactions at prices ranging from \$46.20 to \$47.45, inclusive. The reporting person undertakes to provide the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares purchased at each separate price within the range set forth in this footnote.

(3) This option vested ratably on each of the first eight monthly anniversaries of June 8, 2016 and, subject to the reporting person's continued service on the board of directors of the issuer through the applicable vesting date, is scheduled to vest ratably on each of the following four monthly anniversaries of such date.

(4) This option vested ratably on each of the first 12 monthly anniversaries of April 10, 2015.

(5) This option vested fully on June 11, 2015.

(6) This option vested ratably on each of the first 36 monthly anniversaries of September 12, 2013.

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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