

Bazarko Daniel
Form 3
February 19, 2019

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

INITIAL STATEMENT OF 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 *

Â Bazarko Daniel

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

02/19/2019

3. Issuer Name and Ticker or Trading Symbol

ALEXION PHARMACEUTICALS, INC. [ALXN]

4. Relationship of Reporting
Person(s) to Issuer

5. If Amendment, Date Original
Filed(Month/Day/Year)

(Check all applicable)

____ Director ____ 10% Owner

☒ Officer ____ Other

(give title below) (specify below)

SVP, Controller, CAO

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting
Person

____ Form filed by More than One
Reporting Person

C/O ALEXION
PHARMACEUTICALS,
INC.,Â 121 SEAPORT
BOULEVARD

(Street)

BOSTON,Â MAÂ 02210

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security
(Instr. 4)

2. Amount of Securities
Beneficially Owned
(Instr. 4)

3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)

4. Nature of Indirect Beneficial
Ownership
(Instr. 5)

Common Stock, par value \$.0001 per share

243 ⁽¹⁾

D

Â

Common Stock, par value \$.0001 per share

1,350 ⁽²⁾

D

Â

Common Stock, par value \$.0001 per share

219 ⁽³⁾

D

Â

Common Stock, par value \$.0001 per share

4,762 ⁽⁴⁾

D

Â

Common Stock, par value \$.0001 per share

2,294 ⁽⁵⁾

D

Â

Common Stock, par value \$.0001 per share

2,025 ⁽⁶⁾

D

Â

Common Stock, par value \$.0001 per share

5,020

D

Â

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

SEC 1473 (7-02)

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 control number.

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Option to Purchase Common Stock	Â <u>(7)</u>	02/27/2025	Common Stock, par value \$.0001 per share	3,943	\$ 180.37	D	Â
Option to Purchase Common Stock	Â <u>(8)</u>	12/01/2025	Common Stock, par value \$.0001 per share	2,912	\$ 180.28	D	Â
Option to Purchase Common Stock	Â <u>(9)</u>	06/01/2023	Common Stock, par value \$.0001 per share	13,066	\$ 97.58	D	Â
Option to Purchase Common Stock	Â <u>(10)</u>	02/28/2024	Common Stock, par value \$.0001 per share	5,111	\$ 176.8	D	Â
Option to Purchase Common Stock	Â <u>(11)</u>	02/28/2027	Common Stock, par value \$.0001 per share	5,300	\$ 131.25	D	Â
Option to Purchase Common Stock	Â <u>(12)</u>	02/28/2026	Common Stock, par value \$.0001 per share	11,000	\$ 140.16	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Bazarko Daniel C/O ALEXION PHARMACEUTICALS, INC. 121 SEAPORT BOULEVARD BOSTON, MA 02210	Â	Â	Â SVP, Controller, CAO	Â

Signatures

/s/ Douglas Barry, Attorney-in-Fact for Daniel
Bazarko

02/19/2019

__Signature of Reporting Person

Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 5(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) Award of Restricted Stock Unites under the 2004 Incentive Plan. 25% of the shares vest on each anniversary of the grant date. The grant date of this award was December 1, 2015. The number of shares reported are the remaining unvested shares.
 - (2) Award of Restricted Stock Unites under the 2004 Incentive Plan. 25% of the shares vest on each anniversary of the grant date. The grant date of this award was February 26, 2016. The number of shares reported are the remaining unvested shares.
 - (3) Award of Restricted Stock Unites under the 2004 Incentive Plan. 25% of the shares vest on each anniversary of the grant date. The grant date of this award was February 27, 2015. The number of shares reported are the remaining unvested shares.
 - (4) Award of Restricted Stock Unites under the 2017 Incentive Plan. 25% of the shares vest on each anniversary of the grant date. The grant date of this award was February 28, 2018. The number of shares reported are the remaining unvested shares.
 - (5) Award of Restricted Stock Unites under the 2017 Incentive Plan. 50% of the shares vest on each of the first two anniversaries of the grant date. The grant date of this award was December 1, 2017. The number of shares reported are the remaining unvested shares.
 - (6) Award of Restricted Stock Unites under the 2004 Incentive Plan. 25% of the shares vest on each anniversary of the grant date. The grant date of this award was February 28, 2017. The number of shares reported are the remaining unvested shares.
 - (7) Award of stock options under the 2004 Incentive Plan. 25% vest on the one year anniversary of the date of the grant and 1/16th every 90 days thereafter. The grant date for this award was February 27, 2015.
 - (8) Award of stock options under the 2004 Incentive Plan. 25% vest on the one year anniversary of the date of the grant and 1/16th every 90 days thereafter. The grant date for this award was December 1, 2015.
 - (9) Award of stock options under the 2004 Incentive Plan. 25% vest on the one year anniversary of the date of the grant and 1/16th every 90 days thereafter. The grant date for this award was June 1, 2013.
 - (10) Award of stock options under the 2004 Incentive Plan. 25% vest on the one year anniversary of the date of the grant and 1/16th every 90 days thereafter. The grant date for this award was February 28, 2014.
 - (11) Award of stock options under the 2004 Incentive Plan. 25% vest on the one year anniversary of the date of the grant and 1/16th every 90 days thereafter. The grant date for this award was February 28, 2017.
 - (12) Award of stock options under the 2004 Incentive Plan. 25% vest on the one year anniversary of the date of the grant and 1/16th every 90 days thereafter. The grant date for this award was February 26, 2016.

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.