SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

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

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1. Title of Security (Instr. 3) 2. Trans				2A. Deemed	3.	4. Securities Acquired (A)	or	5. Amount of	6. Owners	hip	7. Nature of	
		Table I - Nor	n-Derivative S	Securities Acc	uired, Dis	posed of, or Benefi	cially (Dwned				
(City)	(State)	(Zip)										
	0/1	52121						Form filed by Mor Person	e than One	Repor	ting	
(Street) SAN DIEGO	CA	92121					X	Form filed by One	Reporting	Persor	ı	
				mendment, Date of	6. Individual or Joint/Group Filing (Check Applicable Line)							
6154 NANCY	RIDGE DRIVI	E										
(Last)	(First)	(Middle)	3. Date 03/16	e of Earliest Transa 5/2021	ction (Month/	Day/Year)	1	Officer (give title below)		Other (s elow)	specify	
1. Name and Address of Reporting Person* ARENA PHARMACEUTICALS INC				ier Name and Ticke g <u>board Pharm</u>		symbol <u>s, Inc.</u> [LBPH]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director X 10% Owner					
			01 56	ection 30(n) of the fi	ivestiment Cu	inpany Act of 1940						

1. True of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	Execution Date, if any (Month/Day/Year)	Transaction Code (Instr.		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			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)
Voting Common Stock	03/16/2021		С		138,000	A	(1)	3,978,540	D	

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

	(e.g., puis, cans, 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. Transa Code (8)		Derivative		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		Transaction(s) (Instr. 4)		
Series A Convertible Preferred Stock	(1)	03/16/2021		С			100,000	(1)	(1)	Voting Common Stock	138,000	(1)	0	D	

Explanation of Responses:

1. Each share of the Issuer's Series A Convertible Preferred Stock reported herein automatically converted into 1.38 shares of the Issuer's Voting Common Stock upon the closing of the Issuer's initial public offering. The Series A Convertible Preferred Stock had no expiration date.

Remarks:

Arena Pharmaceuticals, Inc. By: 03/18/2021

/s/ Laurie Stelzer, EVP and CFO

** 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.