

Whaley Glenn

Form 3

December 08, 2017

**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 Whaley Glenn

(Last)

(First)

(Middle)

2. Date of Event Requiring  
Statement

(Month/Day/Year)

11/29/2017

3. Issuer Name **and** Ticker or Trading Symbol

PERNIX THERAPEUTICS HOLDINGS, INC. [PTX]

4. Relationship of Reporting  
Person(s) to Issuer5. If Amendment, Date Original  
Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

Inter VP Fin, POA &amp; Controller

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting  
Person☐ Form filed by More than One  
Reporting PersonC/O PERNIX THERAPEUTICS  
HOLDINGS, INC.,Â 10 NORTH  
PARK PLACE, SUITE 201

(Street)

MORRISTOWN,Â NJÂ 07960

(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

1,100 <sup>(1)</sup>

D

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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  
Derivative5. Ownership  
Form of  
Derivative  
Security:6. Nature of Indirect  
Beneficial Ownership  
(Instr. 5)

## Edgar Filing: Whaley Glenn - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Stock Option (Right to Buy)	Â <u>(2)</u>	03/24/2025	Common Stock	6,000 <u>(6)</u>	\$ 103.1 <u>(6)</u>	D	Â
Stock Option (Right to Buy)	Â <u>(3)</u>	02/25/2026	Common Stock	3,500 <u>(6)</u>	\$ 21.4 <u>(6)</u>	D	Â
Stock Option (Right to Buy)	Â <u>(4)</u>	02/25/2026	Common Stock	14,000 <u>(6)</u>	\$ 21.4 <u>(6)</u>	D	Â
Stock Option (Right to Buy)	Â <u>(5)</u>	08/08/2027	Common Stock	4,000	\$ 2.92	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Whaley Glenn C/O PERNIX THERAPEUTICS HOLDINGS, INC. 10 NORTH PARK PLACE, SUITE 201 MORRISTOWN, NJ 07960	Â	Â	Â Inter VP Fin, POA & Controller	Â

## Signatures

/s/ Kenneth R. Pina,  
attorney-in-fact

12/08/2017

\_\_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) Consists of previously-awarded restricted share units that vest in four equal annual installments of 275 shares, with the first installment vesting on August 8, 2018, which is the one year anniversary of the grant date.

- (2) The option vests and becomes exercisable over a four-year period commencing on March 24, 2015. Twenty-five percent (25%) of the option vested and became exercisable on March 24, 2016, with the balance vesting in equal annual installments over the remaining three years of the four-year period, subject to continued service with the Issuer.

- (3) The option vests and becomes exercisable over a four-year period commencing on February 25, 2016. Twenty-five percent (25%) of the option vested and became exercisable on February 25, 2017, with the balance vesting in equal annual installments over the remaining three years of the four-year period, subject to continued service with the Issuer.

- (4) The option vests and becomes exercisable over a four-year period commencing on February 25, 2016. Twenty-five percent (25%) of the option vested and became exercisable on February 25, 2017, with the balance vesting in equal annual installments over the remaining three years of the four-year period, subject to continued service with the Issuer.

- (5) The option vests and becomes exercisable over a four-year period commencing on August 8, 2017. Twenty-five percent (25%) of the option vests and becomes exercisable on August 8, 2018, with the balance vesting in equal annual installments over the remaining three years of the four-year period, subject to continued service with the Issuer.

- (6) Exercise price and number of option shares have been adjusted to reflect the Issuer's 1-for-10 stock split of its issued and outstanding shares of common stock effected on October 13, 2016.

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**Remarks:**

ExhibitÂ List:Â ExhibitÂ 24Â -Â PowerÂ ofÂ Attorney

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.