

Parkinson David Ross  
 Form 4  
 May 17, 2018

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
 Expires: January 31, 2005  
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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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
 Parkinson David Ross

2. Issuer Name and Ticker or Trading Symbol  
 CTI BIOPHARMA CORP [ctic]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
 3101 WESTERN AVENUE, SUITE 800

3. Date of Earliest Transaction (Month/Day/Year)  
 05/17/2018

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

(Street)  
 SEATTLE, WA 98121

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

**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 Beneficial Ownership (Instr. 4)
				(A) or (D)	Amount		
				Code	V		
					Price		

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

**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.**

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	2. Conversion or Exercise	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any	4. Transaction Code	5. Number of Derivative Securities	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Security (Instr. 3 and 4)

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(Instr. 3)	Price of Derivative Security	(Month/Day/Year)	(Instr. 8)	Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Non-Qualified Stock Option (right to buy)	\$ 4.61	05/17/2018	A	60,000					(1)	05/17/2028	Common Stock	60,000

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Parkinson David Ross 3101 WESTERN AVENUE SUITE 800 SEATTLE, WA 98121	X			

## Signatures

Bruce J. Seeley, Attorney-in-fact For: David R. Parkinson  
 Signature: \_\_\_\_\_ Date: 05/17/2018  
\*\*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).

This stock option was granted on May 17, 2018 and vests on the first to occur of (i) the date that is twelve months after the date of grant, (1) and (ii) immediately prior to the first annual meeting of the Company's stockholders in 2019 at which one or more members of the Company's Board of Directors are to be elected, subject to the Reporting Person's continued service through such date or event.

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. = "margin-left: 10px; text-indent: -10px" > Assets Investments (at fair value):

Cooper Tire & Rubber Company stock fund  
**\$4,978,416** \$1,150,260  
 Registered investment companies  
**56,327,255** 66,492,232  
 Common collective trust  
**4,783,259** 5,930,942  
 Participant loans  
**2,559,389** 3,383,774

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Total investments  
**68,648,319** 76,957,208

Receivables:

Employer s contributions  
**283,010** 410,912

Participants contributions  
**301,943** 502,158

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Total receivables  
**584,953** 913,070

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Assets available for benefits  
**\$69,233,272** \$77,870,278

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See accompanying notes.

**Table of Contents**

**The Standard Products Company**

**Standard Products  
Individual Retirement and Investment Trust Plan**

**Statement of Changes in Assets Available for Benefits**

**Year Ended June 30, 2001**

Additions:	
Employer's contributions	\$ 1,723,030
Participants' contributions	5,039,392
Net appreciation in fair value of investments	726,502
Interest and dividends	3,956,087
Other additions	173
	<hr/>
Total Additions	11,445,184
Deductions:	
Benefit payments	10,307,610
Other deductions	184,704
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Total Deductions	10,492,314
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Net increase before transfer of assets	952,870
Transfer of assets to other plan of acquiring company (Note1)	(9,589,876)
Assets available for benefits at beginning of year	77,870,278
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Assets available for benefits at end of year	\$ 69,233,272
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See accompanying notes.

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**The Standard Products Company**

**Standard Products  
Individual Retirement and Investment Trust Plan**

**Statements of Assets Available for Benefits**

**Notes to the Financial Statements**

**June 30, 2001**

**1. Description of Plan**

The following description of the Standard Products Individual Retirement and Investment Trust Plan (the Plan) provides only general information. Participants should refer to the Summary Plan Description for a more complete description of the Plan's provisions.

**General**

The Plan is a defined contribution plan covering all salaried and non-union hourly employees of The Standard Products Company (the Company) and its wholly-owned subsidiaries Oliver Rubber Company and Westborn Warehouse, Inc., which are all wholly-owned subsidiaries of Cooper Tire and Rubber Company (Cooper). The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974 (ERISA).

On June 30, 2000, the Company completed the sale of its Holm Industries, Inc. subsidiary. During the 2001 Plan year, assets totaling \$9,589,876 were transferred to the plan of the acquiring company.

**Contributions**

Each year, participants may contribute up to 15 percent of their pretax compensation. The Company contributes 75 percent of the first 2 percent and 25 percent of the next 3 percent (up to 5 percent) of base compensation that the participant contributes to the Plan. Effective July 1, 2000, all employer matching contributions were invested in the Cooper Tire & Rubber Company Common Stock Fund. From October 27, 1999 (date of acquisition of the Company by Cooper) to June 30, 2000, all employer matching contributions were invested in the Vanguard Prime Money Market Fund.

The Company may make a special employer contribution on behalf of each eligible non-union hourly employee, whether or not they are depositing participants. For the Plan year ended June 30, 2001, the special employer contributions were \$182,596. All special employer contributions are invested in the Vanguard Prime Money Market Fund.

Upon enrollment, a participant may direct their contributions to any of the Plan's investment fund options.

**Participant Accounts**

Individual accounts are maintained for each participant in the Plan. Each participant's account is credited with the participant's contributions, their allocation of the Company's contributions and Plan earnings.

**Vesting**

The participants are immediately vested in both their contributions and the Company's contributions plus actual earnings thereon.

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**Statements of Assets Available for Benefits**

**Notes to the Financial Statements (Continued)**

**June 30, 2001**

**1. Description of Plan (continued)**

**Participant Loans**

Participants may borrow the lesser of 100 percent of their participant elected contributions account or 50 percent of the vested value of their entire account. In no event should the maximum loan exceed \$50,000. The interest rate is established based on the prime rate. Interest rates as of June 30, 2001 range from 7.75 percent to 9.50 percent. The loan repayment schedule can be no longer than 54 months. Principal and interest is paid ratably through payroll deductions.

**Payment of Benefits**

In the event of retirement, death, termination, permanent disability or other separation from service, participants shall be entitled to receive an amount equal to the value of the vested value of their account. Payment of benefits may be taken in a lump sum cash distribution or in various annuity options.

**Termination of the Plan**

Although it has not expressed any intent to do so, the Company has the right, under the Plan, to terminate the Plan subject to the provisions of ERISA.

**2. Summary of Significant Accounting Policies**

**Basis of Accounting**

The accompanying financial statements are prepared on the accrual basis of accounting.

**Investment Valuation and Recognition**

The accompanying statements of assets available for benefits reflect the Plan's investments at fair value, which equals the quoted market price on the last business day of the Plan year. The shares of Cooper Tire & Rubber Company stock fund, registered investment companies, and common collective trust are valued at quoted market prices, which represent the net asset value of shares held by the Plan at year-end. The participant loans are valued at their outstanding balances, which approximate fair value.

Purchases and sales of securities are recorded on a trade-date basis. Interest income is recognized when earned. Dividends are recorded on the ex-dividend date.

**Administrative Expenses**

The Company pays the administrative expenses of the Plan, including any expenses and fees of Vanguard Fiduciary Trust Company, the Trustee.

**Use of Estimates**

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The preparation of financial statements in conformity with accounting principles generally accepted in the United States requires management to make estimates that affect the amounts reported in the financial statements and accompanying notes. Actual results could differ from those estimates.

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**Note to the Financial Statements (Continued)**

**June 30, 2001**

**2. Summary of Significant Accounting Policies, (Continued)**

**Reclassification**

Certain amounts in the 2000 financial statements have been reclassified to conform to the current year's presentation.

**3. Investments**

During 2001, the Plan's investments (including investments purchased, sold and held during the year) appreciated (depreciated) in fair value as determined by quoted market prices as follows:

Cooper Tire & Rubber Company stock fund	\$1,240,398
Registered Investment Companies	(513,896)
	<u>726,502</u>
	<u>\$ 726,502</u>

Investments that exceed 5% of the Plan assets available for benefits are as follows:

	<b>June 30</b>	
	<b>2001</b>	<b>2000</b>
Vanguard Prime Money Market Fund	<b>\$19,808,105</b>	\$25,641,908
Vanguard Windsor II Fund Investor Shares	<b>16,392,962</b>	16,085,636
Vanguard 500 Index Fund Investor Shares	<b>11,648,971</b>	15,035,602
Vanguard STAR Fund	<b>8,477,217</b>	9,729,086
Cooper Tire & Rubber Company Stock Fund	<b>4,978,416</b>	1,150,260
Vanguard Retirement Savings Trust	<b>4,783,259</b>	5,930,942

**4. Non Participant-Directed Investments**

The Cooper Tire & Rubber Company Stock Fund and the Vanguard Prime Money Market Fund are non participant-directed investments. Information about the significant components of changes in assets related to the non participant-directed investments is as follows for the year ended June 30, 2001:

Contributions	<b>\$ 2,814,971</b>
Interest and dividends	<b>1,355,392</b>
Net appreciation in fair value of investments	<b>1,240,398</b>
Benefit payments	<b>(5,111,662)</b>
Other deductions	<b>(115,033)</b>
Transfers from (to) other funds	<b>(2,211,160)</b>
Net loan activity	<b>21,447</b>





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**The Standard Products Company**  
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**Individual Retirement and Investment Trust Plan**

**Note to the Financial Statements (Continued)**

**June 30, 2001**

**5. Federal Income Taxes**

The Plan has received a determination letter from the Internal Revenue Service dated February 7, 1997, stating that the Plan is qualified under Section 401(a) of the Internal Revenue Code (the Code) and, therefore, the related trust is exempt from taxation. Once qualified, the Plan is required to operate in conformity with the Code to maintain its qualification. The Plan administrator believes the Plan is being operated in compliance with the applicable requirements of the Code and, therefore, believes that the Plan is qualified and the related trust is tax exempt.

**6. Related Party Transactions**

Certain Plan investments are shares of mutual funds managed by the Trustee, and, therefore, these transactions qualify as party-in-interest transactions. There have been no known prohibited transactions with a party-in-interest.

**7. Reconciliation of Financial Statements to Form 5500**

The following is a reconciliation of assets available for benefits according to the financial statements to the Form 5500 at June 30:

	<b>2001</b>	<b>2000</b>
Assets available for benefits per the financial statements	<b>\$69,233,272</b>	\$77,870,278
Amounts allocated to withdrawing participants	<b>(99,968)</b>	(1,249,445)
Assets available for benefits per the Form 5500	<b>\$69,133,304</b>	\$76,620,833

The following is a reconciliation of benefits paid to participants according to the financial statements to the Form 5500 for the year ended June 30, 2001:

Benefits paid to participants per the financial statements	<b>\$10,307,610</b>
Plus: amounts allocated to withdrawing participants at June 30, 2001	<b>99,968</b>
Less: amounts allocated to withdrawing participants at June 30, 2000	<b>(1,249,445)</b>
Benefits paid to participants per the Form 5500	<b>\$ 9,158,133</b>

Amounts allocated to withdrawing participants are recorded on the Form 5500 for benefit claims that have been processed and approved for payment prior to June 30, 2001, but have not yet been paid.

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**The Standard Products Company**

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**Individual Retirement and Investment Trust Plan**

**Notes to the Financial Statements (Continued)**

**June 30, 2001**

**8. Subsequent Event**

On November 16, 2001, the Plan sponsor merged the Plan with Cooper Tire & Rubber Company Thrift and Profit Sharing Plan (Cooper Plan), the Profit Sharing Plan of Oliver Rubber Group, the Standard Products Company Money Purchase Pension Plan and Trust for Hourly Employees and the Siebe Automotive Employees Profit Sharing Plan thereby creating a new plan named the Cooper Tire & Rubber Company Spectrum Retirement Plan. The plan merger will be effective January 1, 2002 at which time all plan assets will be combined into one trust under the terms and provisions of the Cooper Plan trust agreement with National City Bank.

**Table of Contents****The Standard Products Company****Standard Products  
Individual Retirement and Investment Trust Plan****Employer ID # 34-0549970  
Plan # 011****Schedule H, Line 4(i) Schedule of Assets (Held At End of Year)****June 30, 2001**

<b>Identity of Issue or Borrower</b>	<b>Description of Investment</b>	<b>Cost</b>	<b>Current Value</b>
*Cooper Tire & Rubber Company	Cooper Tire & Rubber Company Stock Fund	\$ 4,076,739	\$ 4,978,416
*The Vanguard Group Inc.	Vanguard Windsor II Fund Investor Shares	15,070,199	16,392,962
*The Vanguard Group Inc.	Vanguard 500 Index Fund Investor Shares	12,646,638	11,648,971
*The Vanguard Group Inc.	Vanguard Prime Money Market Fund	19,808,106	19,808,105
*The Vanguard Group Inc.	Vanguard STAR Fund	8,445,006	8,477,217
*The Vanguard Group Inc.	Vanguard Retirement Savings Trust	4,783,259	4,783,259
*Plan participants	Participant Loans, interest rates ranging from 7.75% to 9.5%		2,559,389
		<u>\$64,829,947</u>	<u>\$68,648,319</u>

\*Party-in-interest.

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**The Standard Products Company**

**Standard Products**

**Employer ID # 34-0549970**

**Plan # 011**

**Schedule H, Line 4(j) Schedule of Reportable Transactions**

**Year Ended June 30, 2001**

<b>Identity of Party Involved</b>	<b>Description of Asset</b>	<b>Purchase Price</b>	<b>Selling Price</b>	<b>Cost of Asset</b>	<b>Current Value of Asset on Transaction Date</b>	<b>Net Gain (Loss)</b>
Category iii) A series of transactions in excess of 5% of Plan assets:						
	Prime Money Market					
The Vanguard Group, Inc.	Fund					
	Purchases	5,286,261		5,286,261	5,286,261	
	Sales		11,120,064	11,120,064	11,120,064	
Cooper Tire & Rubber Company	Cooper Tire & Rubber Company Stock Fund					
	Purchases	5,010,041		5,010,041	5,010,041	
	Sales		2,420,098	2,194,841	2,420,098	225,257

\*\* The commissions and fees related to purchases and sales of investments are included in the cost of the investment or the proceed from the sale and are not separately identified by the trustee.

There were no reportable transactions under categories i), ii) or iv) during 2001.