

Diplomat Pharmacy, Inc.
Form 4
November 04, 2015

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

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
Kadlec Gary W

(Last) (First) (Middle)

4100 S. SAGINAW STREET

(Street)

FLINT, MI 48507

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading
Symbol
Diplomat Pharmacy, Inc. [DPLO]

3. Date of Earliest Transaction
(Month/Day/Year)
11/02/2015

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

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

President

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 Indirect Beneficial Ownership (Instr. 4)
Common Stock	11/02/2015		M	30,000	A \$ 4.28	30,000	D
Common Stock	11/02/2015		S	30,000 (1)	D \$ 28.0313 (2)	0	D

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)

Edgar Filing: Diplomat Pharmacy, Inc. - Form 4

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)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Employee Stock Option to Acquire Common Stock	\$ 4.28	11/02/2015		M	30,000	(3) 09/01/2022	Common Stock 30,000

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Kadlec Gary W 4100 S. SAGINAW STREET FLINT, MI 48507	X		President	

Signatures

Jeffrey H. Kuras,
Attorney-in-fact
11/04/2015

__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 sale was effected pursuant to a 10b5-1 trading plan initially adopted by the reporting person on June 24, 2015. The plan provides for monthly sales of 30,000 shares of common stock at the market price. Shares that are not sold in a particular month will be available for sale in subsequent months under the plan. A maximum of 30,000 shares remain available for sale under the plan, which is set to expire on December 31, 2015.

(2) The price represents the weighted average price of the multiple transactions reported on this line. The shares were sold at prices ranging from \$28.00 to \$28.07 per share. Upon request by the SEC staff, the issuer or any securityholder of the issuer, the reporting person will provide full information regarding the number of shares sold at each separate price.

(3) The options were granted on September 1, 2012. The options began to vest in annual increments of 25% of the option grant on the one-year anniversary of the grant date, to be fully vested after four years. 75% of the options originally granted are currently vested and exercisable.

(4) The total number of securities reported in this column have been adjusted from a previously reported transaction which included 8,024 shares that were performance based awards with the same exercise price and expiration date as the time based options reflected on the

Edgar Filing: Diplomat Pharmacy, Inc. - Form 4

Form 4 relating to such transaction.

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.