

Diplomat Pharmacy, Inc.  
Form 3  
December 09, 2016

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104  
Expires: January 31, 2015  
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)

|   |  |  |   |   |  |
|---|--|--|---|---|--|
| <p>1. Name and Address of Reporting Person *</p> <p><b>Â Rice Gary</b></p> <p>(Last) (First) (Middle)</p> <p><b>C/O DIPLOMAT PHARMACY, INC.,Â 4100 SOUTH SAGINAW STREET</b></p> <p>(Street)</p> <p><b>FLINT,Â MIÂ 48507</b></p> <p>(City) (State) (Zip)</p> | <p>2. Date of Event Requiring Statement</p> <p>(Month/Day/Year)</p> <p><b>12/05/2016</b></p> | <p>3. Issuer Name <b>and</b> Ticker or Trading Symbol</p> <p><b>Diplomat Pharmacy, Inc. [DPLO]</b></p> | <p>4. Relationship of Reporting Person(s) to Issuer</p> <p>(Check all applicable)</p> <p><input type="checkbox"/> Director <input type="checkbox"/> 10% Owner</p> <p><input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other</p> <p>(give title below) (specify below)</p> <p><b>EVP of Operations</b></p> | <p>5. If Amendment, Date Original Filed(Month/Day/Year)</p> | <p>6. Individual or Joint/Group Filing(Check Applicable Line)</p> <p><input checked="" type="checkbox"/> Form filed by One Reporting Person</p> <p><input type="checkbox"/> Form filed by More than One Reporting Person</p> |
|---|--|--|---|---|--|

### Table I - Non-Derivative Securities Beneficially Owned

| 1. Title of Security<br>(Instr. 4) | 2. Amount of Securities Beneficially Owned<br>(Instr. 4) | 3. Ownership Form:<br>Direct (D)<br>or Indirect (I)<br>(Instr. 5) | 4. Nature of Indirect Beneficial Ownership<br>(Instr. 5) |
|------------------------------------|--|---|--|
|------------------------------------|--|---|--|

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

SEC 1473 (7-02)

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

| 1. Title of Derivative Security<br>(Instr. 4) | 2. Date Exercisable and Expiration Date<br>(Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security<br>(Instr. 4) | 4. Conversion or Exercise Price of Derivative Security | 5. Ownership Form of Derivative Security:<br>Direct (D) | 6. Nature of Indirect Beneficial Ownership<br>(Instr. 5) |
|---|---|--|--|---|--|
|   | Date Exercisable      Expiration Date                       | Title      Amount or Number of   |  |   |  |

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|   |       |            |                 | Shares  |          | or Indirect<br>(I)<br>(Instr. 5) |   |
|---|-------|------------|-----------------|---------|----------|----------------------------------|---|
| Employee Stock Option<br>to Acquire Common<br>Stock | Â (1) | 03/01/2022 | Common<br>Stock | 27,313  | \$ 4.29  | D                                | Â |
| Employee Stock Option<br>to Acquire Common<br>Stock | Â (2) | 01/15/2023 | Common<br>Stock | 131,687 | \$ 5.88  | D                                | Â |
| Employee Stock Option<br>to Acquire Common<br>Stock | Â (3) | 06/05/2025 | Common<br>Stock | 9,095   | \$ 39.26 | D                                | Â |
| Employee Stock Option<br>to Acquire Common<br>Stock | Â (4) | 10/30/2025 | Common<br>Stock | 75,000  | \$ 28.11 | D                                | Â |
| Employee Stock Option<br>to Acquire Common<br>Stock | Â (5) | 03/21/2026 | Common<br>Stock | 12,467  | \$ 25.92 | D                                | Â |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |                     |       |
|--|---------------|-----------|---------------------|-------|
|  | Director      | 10% Owner | Officer             | Other |
| Rice Gary<br>C/O DIPLOMAT PHARMACY, INC.<br>4100 SOUTH SAGINAW STREET<br>FLINT, MI 48507 | Â             | Â         | Â EVP of Operations | Â     |

## Signatures

Jeffrey H. Kuras, by Power of  
Attorney 12/09/2016

\_\_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) The options were granted on March 1, 2012 and are fully vested.

The options were granted on January 15, 2013. 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.

(3) The options were granted on June 5, 2015. The options began to vest 25% upon determination in March 2016 of the achievement of certain performance criteria and will continue to vest in annual increments of 25% thereafter. 25% of the options originally granted are currently vested and exercisable.

(4) The options were granted on October 30, 2015. 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. 25% of the options originally granted are currently vested and exercisable.

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- The options were granted on March 21, 2016, and vest according to certain financial performance criteria of the Company. To the extent
- (5) such criteria are met, 25% will vest on approximately March 31, 2017, and the remaining options will continue to vest in annual increments of 25% thereafter.

Â

### Remarks:

ExhibitÂ 24,Â PowerÂ ofÂ Attorney,Â isÂ attached.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure.

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