

SHROTRIYA RAJESH C MD

Form 4

May 17, 2018

FORM 4

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

OMB APPROVAL

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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 *
SHROTRIYA RAJESH C MD

2. Issuer Name and Ticker or Trading Symbol
SPECTRUM
PHARMACEUTICALS INC [SPPI]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

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

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

11500 S. EASTERN AVE., SUITE 240

05/17/2018

(Street)

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

HENDERSON, NV 89052

(City) (State) (Zip)

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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V | Amount | (A) or (D) | Price |
| Common Stock, \$0.001 par value | 05/17/2018 | | M | | 112,500 | A | \$ 1.43 |
| Common Stock, \$0.001 par value | 05/17/2018 | | M | | 250,426 | A | \$ 1.47 |
| Common Stock, \$0.001 par | 05/17/2018 | | G ⁽¹⁾ | | 362,926 | D | \$ 0 200,652 |

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| | | | | | | | | |
|---------------------------------|------------|------------------|---------|---|------|-----------|---|--------------------------------|
| value | | | | | | | | |
| Common Stock, \$0.001 par value | 05/17/2018 | G ⁽¹⁾ | 362,926 | A | \$ 0 | 978,889 | I | By CS Family Trust |
| Common Stock, \$0.001 par value | | | | | | 1,787,542 | I | By Shrotriya Gift Trust |
| Common Stock, \$0.001 par value | | | | | | 1,243,284 | I | By RS Irrevocable Trust |
| Common Stock, \$0.001 par value | | | | | | 28,907 | I | By 401(k) Plan |
| Common Stock, \$0.001 par value | | | | | | 9,523 | I | By Spouse |
| Common Stock, \$0.001 par value | | | | | | 67,144 | I | By Shrotriya Family Foundation |
| Common Stock, \$0.001 par value | | | | | | 40,000 | I | By ROTH IRA |

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.

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(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 (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 of Number of |

| | | | | | | | | Shares | |
|--|---------|------------|--|---|---------|------------|------------|-----------------|---------|
| Stock Option Exercise (Right to Buy) | \$ 1.43 | 05/17/2018 | | M | 112,500 | 12/06/2011 | 12/06/2018 | Common Stock | 112,500 |
| Stock Option Exercise (Right to Buy) | \$ 1.47 | 05/17/2018 | | M | 250,426 | 01/16/2012 | 01/16/2019 | Common Stock | 250,426 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| SHROTRIYA RAJESH C MD 11500 S. EASTERN AVE. SUITE 240 HENDERSON, NV 89052 | | X | | |

Signatures

/s/ Kurt A. Gustafson, attorney-in-fact for Rajesh C. Shrotriya 05/17/2018

**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) Transfer for estate planning purposes by Reporting Person to the CS Family Trust. The Reporting Person has an indirect beneficial ownership as trustee of the CS Family Trust.

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.