

FRATES JAMES M  
Form 4  
February 21, 2018

**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  
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response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
**FRATES JAMES M**

(Last) (First) (Middle)

**CONNAUGHT HOUSE, 1  
BURLINGTON ROAD**

(Street)

**DUBLIN 4 Ireland**

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol  
**Alkermes plc. [ALKS]**

3. Date of Earliest Transaction  
(Month/Day/Year)  
**02/16/2018**

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) below)

**SVP, Alks Inc; CFO ALKS**

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<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired<br>(A) or Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|---|---|--------------------------------------|---|--|--|---|
| Ordinary<br>Shares                    | 02/17/2018                              |   | M                                    | 3,000   | A \$ 0   | 147,039  | D   |
| Ordinary<br>Shares                    | 02/17/2018                              |   | F                                    | 929   | D \$<br>67.26  | 146,110  | D   |
| Ordinary<br>Shares                    |   |   |                                      |   |  | 4,000  | I By Sons   |
| Ordinary<br>Shares                    |   |   |                                      |   |  | 31,940   | I By 2014<br>GRAT <sup>(1)</sup>                                  |
| Ordinary<br>Shares                    |   |   |                                      |   |  | 11,421   | I By 2015<br>GRAT<br>No. 2 <sup>(2)</sup>                         |

# Edgar Filing: FRATES JAMES M - Form 4

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<br>Derivative<br>Security<br>(Instr. 3) | 2. Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4. Transaction<br>Code<br>(Instr. 8) | 5. Number of<br>Derivative<br>Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4, and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and Amount<br>Underlying Security<br>(Instr. 3 and 4) |
|---|--|---|---|--------------------------------------|--|--|--|
|   |  |   |   | Code                                 | V (A) (D)  | Date Exercisable Expiration Date                               | Title or Name of   |
| Restricted<br>Stock Unit<br>Award                   | \$ 0   | 02/16/2018                              |   | A                                    | 13,500   | 02/16/2019 <sup>(3)</sup> <sup>(3)</sup>                       | Ordinary<br>Shares 1   |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy)    | \$ 67.26   | 02/16/2018                              |   | A                                    | 54,500   | 02/16/2019 <sup>(4)</sup> 02/16/2028                           | Ordinary<br>Shares 5   |
| Restricted<br>Stock Unit<br>Award                   | \$ 0   | 02/17/2018                              |   | M                                    | 3,000  | 02/17/2018 <sup>(5)</sup> <sup>(5)</sup>                       | Ordinary<br>Shares 3   |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships                    |
|--|----------------------------------|
|  | Director 10% Owner Officer Other |
| FRATES JAMES M<br>CONNAUGHT HOUSE<br>1 BURLINGTON ROAD<br>DUBLIN 4 Ireland | SVP, Alks Inc; CFO ALKS          |

## Signatures

/s/ Jennifer Baptiste, attorney-in-fact for James M.  
Frates

02/21/2018

\*\*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) Shares held by James M. Frates Grantor Retained Annuity Trust dated March 14, 2014 (the "2014 GRAT"). The Reporting Person is a trustee and beneficiary of the 2014 GRAT and may be deemed to hold voting and dispositive power with regard to the reported shares held by the 2014 GRAT.

(2) Shares held by the James M. Frates Grantor Retained Annuity Trust No. 2 dated November 25, 2015 (the "2015 GRAT No. 2"). The Reporting Person is a trustee and beneficiary of the 2015 GRAT No. 2 and may be deemed to hold voting and dispositive power with regard to the reported shares held by the 2015 GRAT No. 2.

(3) Shares subject to the restricted stock unit award vest in equal annual installments over a four year period, commencing on 2/16/19.

(4) Shares subject to the stock option award vest in four equal annual installments commencing on 2/16/2019.

(5) Shares subject to the restricted stock unit award vest in equal annual installments over a four year period, commencing on 2/17/18.

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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