

HOMCY CHARLES J
Form 4
December 19, 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 *
HOMCY CHARLES J

2. Issuer Name and Ticker or Trading Symbol
PORTOLA PHARMACEUTICALS INC [PTLA]

5. Relationship of Reporting Person(s) to Issuer
(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)
12/17/2018

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

C/O PORTOLA PHARMACEUTICALS, INC., 270 EAST GRAND AVE.

(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

SOUTH SAN FRANCISCO, CA 94080

(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)
				(A) or (D)	Price		
				Code	V	Amount	
Common Stock	12/17/2018		M		64,218	A	\$ 4.1 176,689 ⁽¹⁾ D
Common Stock	12/17/2018		S		63,518	D	\$ 18.602 113,171 ⁽¹⁾ ⁽²⁾ D
Common Stock	12/17/2018		S		700	D	\$ 19.2 ⁽³⁾ 112,471 ⁽¹⁾ D
Common Stock ⁽⁴⁾	12/19/2018		M		25,782	A	\$ 4.1 119,480 I Charles Homcy

Common Stock	20,000	I	Revocable Trust The Charles J. Homcy 2009 Grantor Retained Annuity Trust
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Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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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 or Number of Shares
Stock Option (Right to Buy)	\$ 4.1	12/17/2018		M	24,390 <u>(1)</u>	12/23/2008	12/22/2018	Common Stock	24,390
Stock Option (Right to Buy)	\$ 4.1	12/17/2018		M	39,828 <u>(1)</u>	12/23/2008	12/22/2018	Common Stock	39,828
Stock Option (Right to Buy)	\$ 4.1	12/19/2018 ⁽⁴⁾		M	25,782	12/23/2008	12/22/2018	Common Stock	25,782

Reporting Owners

Reporting Owner Name / Address

Relationships

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Director 10% Owner Officer Other

HOMCY CHARLES J
C/O PORTOLA PHARMACEUTICALS, INC. X
270 EAST GRAND AVE.
SOUTH SAN FRANCISCO, CA 94080

Signatures

/s/ Mike Ouimette, as
attorney-in-fact 12/19/2018

__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) The sales reported on this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on September 7, 2018.
- (2) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$18.2000 to \$19.1900, inclusive.
- (3) These sales were sold in a single transaction at a price of \$19.20.
- (4) Dr. Homcy exercised these shares through a cash exercise and transferred the shares following the exercise into the Charles Homcy Revocable Trust for which Dr. Homcy is a trustee.

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.