

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 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 <sup>(1)</sup>		362,926	D	\$ 0 200,652

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value								
Common Stock, \$0.001 par value	05/17/2018	G <sup>(1)</sup>	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.

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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.