

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL

OMB Number: 3235-0104
Estimated average burden
hours per response: 0.5Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934
or Section 30(h) of the Investment Company Act of 1940

| | | | |
|--|--|--|---|
| 1. Name and Address of Reporting Person* <u>Lewis David L.</u> (Last) (First) (Middle) <u>ARROWHEAD RESEARCH CORPORATION</u> <u>225 S. LAKE AVENUE, SUITE 1050</u> (Street) <u>PASADENA CA 91101</u> (City) (State) (Zip) | 2. Date of Event Requiring Statement (Month/Day/Year) <u>01/03/2014</u> | 3. Issuer Name and Ticker or Trading Symbol <u>ARROWHEAD RESEARCH CORP [ARWR]</u> | |
| | | 4. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner <input checked="" type="checkbox"/> Officer (give title below) Other (specify below) <u>Chief Scientific Officer</u> | 5. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person Form filed by More than One Reporting Person |

Table I - Non-Derivative Securities Beneficially Owned

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

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

| 1. Title of Derivative Security (Instr. 4) | 2. Date Exercisable and Expiration Date (Month/Day/Year) | | 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4) | | 4. Conversion or Exercise Price of Derivative Security | 5. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|--|--|-----------------|---|----------------------------|--|--|---|
| | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | | |
| Stock Option dated 10/21/2011 | 04/21/2012 ⁽¹⁾ | 10/21/2021 | Common Stock | 27,500 | 4.6 | D | |
| Stock Option dated 02/16/2012 | 03/01/2012 ⁽²⁾ | 02/16/2022 | Common Stock | 27,000 | 5.19 | D | |
| Stock Option dated 09/28/2012 | 10/01/2012 ⁽²⁾ | 09/28/2022 | Common Stock | 25,000 | 2.62 | D | |
| Stock Option dated 05/06/2013 | 06/01/2013 ⁽²⁾ | 05/06/2023 | Common Stock | 105,000 | 2.01 | D | |
| Stock Option dated 09/21/2013 | 10/01/2013 ⁽²⁾ | 09/21/2023 | Common Stock | 28,000 | 4.75 | D | |

Explanation of Responses:

- Vests 1/8 on six month cliff and balance equally over 42 months
- Vests in 48 equal monthly installments

David L. Lewis01/03/2014

** Signature of Reporting Person

Date

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

* 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).

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

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 Number.