SEC Form 3 FORM 3

UNITED STATES SECURITIES AND EXCHANGE

COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

Filed 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 [*] OLUKOTUN ADEOYE Y | Requiring State | 2. Date of Event Requiring Statement Month/Day/Year) 3. Issuer Name and Ticker or Trading Symbol <u>ARROWHEAD PHARMACEUTICALS, INC.</u> [ARWR] | | | | | | |
|--|---------------------------|---|--|--|---|---|--|--|
| (Last) (First) (Middle) 177 E COLORADO BLVD | | | 4. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | 5. If Amendment, Date of Original Filed (Month/Day/Year) | | |
| STE 700 | _ | | X Director Officer (give title below) | 10% Own Other (spe below) | (specify | Individual or Joint/Group Filing Check Applicable Line) Form filed by One Reporting | | |
| (Street) PASADENA CA 91105 | | | | | | X Form filed by One Reporting Person Form filed by More than One Reporting Person | | |
| (City) (State) (Zip) | <u> </u> | | | | | | | |
| Table I - Non-Derivative Securities Beneficially Owned | | | | | | | | |
| 1. Title of Security (Instr. 4) | | | 2. Amount of Securities Beneficially Owned (Instr. 4) | | | 4. Nature of Indirect Beneficial Ownership (Instr. 5) | | |
| Common Stock | | | 5,000(1) | D | | | | |
| Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) | | | | | | | | |
| 1. Title of Derivative Security (Instr. 4) 2. Date Exerc Expiration Da (Month/Day/Y | | | 3. Title and Amount of Securitie Underlying Derivative Security (Instr. 4) | | 4. Conversio or Exercis Price of | e Form: | 6. Nature of Indirect Beneficial Ownership (Instr. | |
| | Date Ex Exercisable Da | piration ate | | Amount or Number of Shares | Derivative Security | Direct (D) or Indirect (I) (Instr. 5) | 5) | |
| Explanation of Responses: | | | | | | | | |

1. Includes a total of 5,000 shares underlying restricted stock units, which will vest in September 2021.

Remarks:

/s/Adeoye Y Olukotun

** Signature of Reporting

09/08/2020

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.