## SEC Form 4

# 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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

### OMB APPROVAL

OMB Number:	3235-0287								
Estimated average burden									
hours per response:	0.5								

1. Name and Address of Reporting Person <sup>*</sup> GIVEN DOUGLAS B			2. Issuer Name and Ticker or Trading Symbol <u>ARROWHEAD PHARMACEUTICALS,</u> <u>INC.</u> [ ARWR ]		ationship of Reporting Pe ( all applicable) Director Officer (give title	rson(s) to Issuer 10% Owner Other (specify	
(Last) (First) (Middle) 177 E. COLORADO BLVD SUITE 700		(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 12/17/2020		below)	below)	
(Street) PASADENA	Street) PASADENA CA 91105		4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indivi Line) X	vidual or Joint/Group Filing (Check Applicable Form filed by One Reporting Person Form filed by More than One Reporting Person		
(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 Disposed Of 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	12/17/2020		G	v	65	D	\$0.00	114,673	D	
Common Stock	12/17/2020		G	v	65	D	\$0.00	114,608	D	
Common Stock	12/17/2020		G	v	200	D	\$0.00	114,408	D	
Common Stock	12/17/2020		G	v	200	D	\$0.00	114,208	D	
Common Stock	12/17/2020		G	v	35	D	\$0.00	114,173	D	
Common Stock	12/17/2020		G	v	35	D	\$0.00	114,138	D	
Common Stock	12/21/2020		G	v	200	D	\$0.00	113,938	D	
Common Stock	12/21/2020		G	v	35	D	\$0.00	113,903	D	
Common Stock	12/22/2020		G	v	35	D	\$0.00	113,868(1)	D	

#### Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

	( <b>3</b> , <b>P</b> , <b>-</b> , <b>-</b> , <b>-</b> ,														
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. Transa Code ( 8)		of Deriv Secu Acqu (A) of Dispo of (D) (Instr	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		Amount of Securities		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

Explanation of Responses:

1. Includes previously reported shares of common stock underlying Restricted Stock Units granted to the Reporting person which are subject to certain vesting conditions.

### **Remarks:**

/s/Douglass Given

12/29/2020 \*\* 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 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).

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.