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Xenon Pharmaceuticals Inc. Form 3 November 04, 2014 UNITED STATES SECURITIES AND EXCHANGE COMMISSION FORM 3 Washington, D.C. 20549

### **INITIAL STATEMENT OF 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

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

(Print or Type Responses)

1. Name and Address of Reporting

Person <u>*</u> PIMSTONE SIMON N.		Statement (Month/Day/Year)	Xenon Pharmaceuticals Inc. [XENE]			
(Last)	(First)	(Middle)	11/04/2014	4. Relationship of Reporting Person(s) to Issuer	5. If Amendment, Date Original Filed(Month/Day/Year)	
C/O XENO PHARMAC INC., 200	EUTICA			(Check all applicable)	· · ·	
WAY	- 3030 GI	LMORE		_X_ Director 10% Owner _X_ Officer Other		
	(Street)			(give title below) (specify below) President CEO and Director	6. Individual or Joint/Group	

### BURNABY, A1Â V5G 4W8

(City)	(State)	(Zip)	Table I - Non-Derivative Securities Beneficially Owned					
1.Title of Secur (Instr. 4)	ity		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)			
Common Sha	ares		189,429 <u>(1)</u>	D	Â			
Common Sha	ares		16,460 <u>(1)</u>	Ι	By wife			

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

SEC 1473 (7-02)

### **OMB APPROVAL**

Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Form filed by More than One

Person

Reporting Person

OMB Number:	3235-0104
Expires:	January 31, 2005
Estimated av burden hour response	•

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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	5. Ownership Form of Derivative	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	Security: Direct (D) or Indirect (I) (Instr. 5)	
Series A Preferred Shares	(2)	( <u>3)</u>	Common Shares	964 <u>(1)</u>	\$ 0	D	Â
Series B Preferred Shares	(2)	( <u>3)</u>	Common Shares	1,914 <u>(1)</u>	\$ 0	D	Â
Stock Option (Right to Buy)	(4)	03/31/2015(5)	Common Shares	5,144 <u>(1)</u>	\$ 4.81 <u>(6)</u>	D	Â
Stock Option (Right to Buy)	(7)	03/31/2015(22)	Common Shares	15,432 <u>(1)</u>	\$ 4.98 <u>(6)</u>	D	Â
Stock Option (Right to Buy)	(8)	07/31/2016	Common Shares	12,345 <u>(1)</u>	\$ 3.3 <u>(9)</u>	D	Â
Stock Option (Right to Buy)	(10)	12/31/2017	Common Shares	10,288 <u>(1)</u>	\$ 3.77 ( <u>9)</u>	D	Â
Stock Option (Right to Buy)	(11)	06/26/2018	Common Shares	36,008 <u>(1)</u>	\$ 3.7 <u>(9)</u>	D	Â
Stock Option (Right to Buy)	(12)	12/31/2018	Common Shares	9,259 <u>(1)</u>	\$ 3.07 ( <u>9)</u>	D	Â
Stock Option (Right to Buy)	(13)	08/31/2019	Common Shares	12,345 <u>(1)</u>	\$ 3.38 <u>(9)</u>	D	Â
Stock Option (Right to Buy)	(14)	12/31/2019	Common Shares	6,172 <u>(1)</u>	\$ 3.56 <u>(9)</u>	D	Â
Stock Option (Right to Buy	(15)	12/31/2020	Common Shares	22,633 <u>(1)</u>	\$ 3.76 <u>(9)</u>	D	Â
Stock Option (Right to Buy)	(16)	12/31/2021	Common Shares	10,288 <u>(1)</u>	\$ 3.67 (9)	D	Â
Stock Option (Right to Buy)	(16)	12/31/2021	Common Shares	20,576 <u>(1)</u>	\$ 3.67 ( <u>9)</u>	D	Â
Stock Option (Right to Buy)	(17)	12/31/2022	Common Shares	41,152 <u>(1)</u>	\$ 2.68 (18)	D	Â
Stock Option (Right to Buy)	(19)	03/09/2023	Common Shares	30,864 <u>(1)</u>	\$ 2.59 <u>(18)</u>	D	Â
Stock Option (Right to Buy)	(20)	01/13/2024	Common Shares	15,432 <u>(1)</u>	\$ 9.85 <u>(21)</u>	D	Â
Stock Option (Right to Buy)	(20)	01/13/2024	Common Shares	14,403 (1)	\$ 9.85 <u>(21)</u>	D	Â

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# **Reporting Owners**

<b>Reporting Owner Name / Address</b>	Relationships					
FB	Director	10% Owner	Officer	Other		
PIMSTONE SIMON N. C/O XENON PHARMACEUTICALS INC. 200 - 3650 GILMORE WAY BURNABY, A1 V5G 4W8	ÂX	Â	President, CEO and Director	Â		
Signatures						
/s/ Barbara Mery, Attorney-in-fact for Simon N. Pimstone		11/04/2014				
<b>**</b> Signature of Reporting Person			Date			
Explanation of Response	s:					

- \* 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).
- (1) Reflects a 1-for-4.86 reverse stock split of the Issuer's outstanding shares effected October 1, 2014 (the "Reverse Stock Split").
- (2) Reflects the automatic conversion of each share of Series A Preferred Shares and Series B Preferred Shares into one share of Common Shares to occur upon the closing of the Issuer's initial public offering.
- (3) Each share has no expiration date.
- (4) The shares subject to the option fully vested on October 1, 2008.

(5) The shares subject to this option were due to expire on September 30, 2014. Pursuant to the Issuer's Amended and Restated Stock
 (5) Option Plan, the expiration date of this option has been extended until five business days following the expiration of the Lock-up Agreement entered into in connection with the Issuer's initial public offering. The Lock-up Agreement will expire 180 days after the

- date of the final prospectus related to the initial public offering, or March 31, 2015.
   The exercise price was converted from \$6.07 CAD using the closing rate of exchange of the Bank of Canada on the date of grant, after
   giving effect to the Reverse Stock Split. The actual exercise price is the Canadian dollar amount regardless of the exchange rate on the date of exercise.
- (7) The shares subject to the option fully vested on January 11, 2009.
- (8) The shares subject to the option fully vested on August 1, 2010.

The exercise price was converted from \$3.74 CAD using the closing rate of exchange of the Bank of Canada on the date of grant, after
 giving effect to the Reverse Stock Split. The actual exercise price is the Canadian dollar amount regardless of the exchange rate on the date of exercise.

- (10) The shares subject to the option fully vested on January 1, 2012.
- (11) The shares subject to the option fully vested on June 26, 2012.
- (12) The shares subject to the option fully vested on January 1, 2013.
- (13) The shares subject to the option fully vested on September 1, 2013.
- (14) The shares subject to the option fully vested on January 1, 2013.

25% of the shares subject to the Option vested on the one year anniversary of January 1, 2011 (the "2011 Vesting Commencement

(15) Date") and thereafter 1/48th of the shares subject to the Option vest on each monthly anniversary of the 2011 Vesting Commencement Date.

25% of the shares subject to the Option vested on the one year anniversary of January 1, 2012 (the "2012 Vesting Commencement

(16) Date") and thereafter 1/48th of the shares subject to the Option vest on each monthly anniversary of the 2012 Vesting Commencement Date.

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25% of the shares subject to the Option vested on the one year anniversary of January 1, 2013 (the "First 2013 Vesting Commencement Date") and thereafter 1/48th of the shares subject to the Option vest on each monthly anniversary of the 2013 Vesting Commencement Date.

The exercise price was converted from \$2.67 CAD using the closing rate of exchange of the Bank of Canada on the date of grant, after(18) giving effect to the Reverse Stock Split. The actual exercise price is the Canadian dollar amount regardless of the exchange rate on the date of exercise.

25% of the shares subject to the Option vested on the one year anniversary of March 10, 2013 (the "Second 2013 Vesting

(19) Commencement Date") and thereafter 1/48th of the shares subject to the Option vest on each monthly anniversary of the Second 2013 Vesting Commencement Date.

25% of the shares subject to the Option will vest on the one year anniversary of January 14, 2014 (the "2014 Vesting Commencement
(20) Date") and thereafter 1/48th of the shares subject to the Option vest on each monthly anniversary of the 2014 Vesting Commencement Date.

The exercise price was converted from \$10.78 CAD using the closing rate of exchange of the Bank of Canada on the date of grant, after(21) giving effect to the Reverse Stock Split. The actual exercise price is the Canadian dollar amount regardless of the exchange rate on the date of exercise.

The shares subject to this option were due to expire on January 10, 2014. Pursuant to the Issuer's Amended and Restated Stock Option Plan, the expiration date of this option has been extended until five business days following the expiration of the Lock-up Agreement

(22) Fran, the explication date of this option has been extended until five business days following the explication of the Lock-up Agreement entered into in connection with the Issuer's initial public offering. The Lock-up Agreement will expire 180 days after the date of the final prospectus related to the initial public offering, or March 31, 2015.

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.