## 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
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1. Name and Address of Reporting Pe Lippoldt Darin	erson*	2. Issuer Name and Ticker or Trading Symbol <u>NEUROCRINE BIOSCIENCES INC</u> [ NBIX ]		tionship of Reporting Per all applicable) Director Officer (give title below)	son(s) to Issuer 10% Owner Other (specify below)	
(Last) (First) (Middle) 12780 EL CAMINO REAL		3. Date of Earliest Transaction (Month/Day/Year) 02/05/2020		Chief Legal Officer		
(Street) SAN DIEGO CA (City) (State)	92130 (Zip)	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line) X	idual or Joint/Group Filin Form filed by One Rep Form filed by More tha Person	orting Person	

### 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)			4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 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 (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1130.4)
Common Stock	02/05/2020		<b>S</b> <sup>(1)</sup>		1,145	D	<b>\$102.8825</b> <sup>(2)</sup>	21,133	D	
Common Stock	02/05/2020		S <sup>(3)</sup>		605	D	<b>\$103.1513</b> <sup>(4)</sup>	21,678	D	
Common Stock	02/06/2020		<b>S</b> <sup>(5)</sup>		1,198	D	<b>\$101.4655</b> <sup>(6)</sup>	22,755	D	

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. Transa Code ( 8)		of		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		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				
Stock Option	\$102.9	02/06/2020		Α		49,844		(7)	02/06/2030	Common Stock	49,844	\$0.00	49,844	D	
Restricted Stock Unit	(8)	02/06/2020		Α		7,897		(9)	(9)	Common Stock	7,897	\$0.00	7,897	D	

#### Explanation of Responses:

1. Sale of 1,145 shares of common stock issued upon vesting of 2,175 restricted stock units on February 5, 2020 to cover payroll and withholding taxes, with the balance of the shares (1,030) maintained by the Reporting Person; the disposition reported in this Form 4 was effected by a broker pursuant to instructions set forth in a Rule 10b5-1 trading plan adopted by the Reporting Person at least 60 days prior to the transaction date in Box 2 above. Additionally, Issuer policy restricts the Reporting Person from amending or otherwise modifying any 10b5-1 trading plan subsequent to adoption of the plan.

2. Represents a weighted average sales price per share. These shares were sold in multiple transactions at prices ranging from \$101.95 to \$105.04. The Reporting Person has provided to the issuer, and will provide to any security holder of the issuer or the SEC staff, upon request, information regarding the number of shares sold at each price within the range.

3. Sale of 605 shares of common stock issued upon vesting of 1,150 restricted stock units on February 5, 2020 to cover payroll and withholding taxes, with the balance of the shares (545) maintained by the Reporting Person; the disposition reported in this Form 4 was effected by a broker pursuant to instructions set forth in a Rule 10b5-1 trading plan adopted by the Reporting Person at least 60 days prior to the transaction date in Box 2 above. Additionally, Issuer policy restricts the Reporting Person from amending or otherwise modifying any 10b5-1 trading plan subsequent to adoption of the plan.

4. Represents a weighted average sales price per share. These shares were sold in multiple transactions at prices ranging from \$101.98 to \$104.20. The Reporting Person has provided to the issuer, and will provide to any security holder of the issuer or the SEC staff, upon request, information regarding the number of shares sold at each price within the range.

Sale of 1,198 shares of common stock issued upon vesting of 2,275 restricted stock units on February 6, 2020 to cover payroll and withholding taxes, with the balance of the shares (1,077) maintained by the Reporting Person; the disposition reported in this Form 4 was effected by a broker pursuant to instructions set forth in a Rule 10b5-1 trading plan adopted by the Reporting Person at least 60 days prior to the transaction date in Box 2 above. Additionally, Issuer policy restricts the Reporting Person from amending or otherwise modifying any 10b5-1 trading plan subsequent to adoption of the plan.
 Represents a weighted average sales price per share. These shares were sold in multiple transactions at prices ranging from \$99.68 to \$103.01. The Reporting Person has provided to the issuer, and will provide

6. Represents a weighted average sales price per share. These shares were sold in multiple transactions at prices ranging from \$99.68 to \$103.01. The Reporting Person has provided to the issuer, and will provide to any security holder of the issuer or the SEC staff, upon request, information regarding the number of shares sold at each price within the range.

7. Represents option of which 1/48th of the shares underlying the option becomes vested and exercisable on March 6, 2020 and an additional 1/48th of the shares underlying the option becomes vested and exercisable each month thereafter.

8. Each Restricted Stock Unit represents a contingent right to receive one share of the Issuer Common Stock.

9. The Restricted Stock Units will vest annually at 1/4 of the units vesting on each of February 6, 2021, February 6, 2022, February 6, 2023, and February 6, 2024.

**Remarks:** 

## <u>/s/ Darin Lippoldt</u>

\*\* Signature of Reporting Person

02/07/2020

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.