SEC Form 4

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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

hours per response:	0.5
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1. Name and Address of Reporting Person [*] Havey Adam	2. Issuer Name and Ticker or Trading Symbol Emergent BioSolutions Inc. [EBS]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
		Director 10% Owner					
(Last) (First) (Middle)	3. Date of Earliest Transaction (Month/Day/Year) 02/27/2018	X Officer (give title Other (specify below) below) EVP, Business Operations					
400 PROFESSIONAL DR, SUITE 400							
(Street)	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)					
GAITHERSBURG MD 20879		X Form filed by One Reporting Person					
		Form filed by More than One Reporting					
(City) (State) (Zip)		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)	Transaction Code (Instr.					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)		(11150.4)	
Common Stock ⁽¹⁾	02/27/2018		A		5,036 ⁽²⁾	A	\$0.00	31,082	D		
Common Stock	02/27/2018		A		5,036 ⁽³⁾	A	\$0.00	36,118	D		
Common Stock ⁽¹⁾	02/27/2018		F		409	D	\$49.64	35,709	D		
Common Stock ⁽¹⁾	02/28/2018		F		811	D	\$49.97	34,898	D		
Common Stock	03/01/2018		S		1,898 ⁽⁵⁾	D	\$49.5	33,000	D		

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

	(eigi, pato, bailo, Maranto, ophono, 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 Derivati Securiti Acquire (A) or Dispose of (D) (I	Derivative (Month/Day/Year) Securities Acquired		Date 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				
Employee Stock Option (right to buy	\$49.64	02/27/2018		A		20,145		(4)	02/26/2025	Common Stock	20,145	\$49.64	20,145	D	

Explanation of Responses:

1. Consists of restricted stock units granted under the Amended and Restated Emergent BioSolutions Inc. 2006 Stock Incentive Plan, as amended.

2. These restricted stock units vest in three equal annual installments beginning on the day prior to the first anniversary of the date of grant, assuming continued service with the company. Each restricted stock unit represents the right of the Reporting Person to receive one share of common stock of Emergent BioSolutions Inc., subject to adjustment as provided in the grant agreement.

3. Consists of performance stock units granted under the Amended and Restated 2006 Emergent BioSolutions Inc. Stock Incentive Plan, as amended. Each PSU represents a right to receive one share of common stock. The PSUs vest upon achievement with respect to net income as a percentage of total revenue for the 2020 fiscal year, each as determined in accordance with GAAP, as certified by the Compensation Committee following the performance period.

4. Vests in three equal installments on February 26, 2019, February 26, 2020 and February 26, 2021.

5. This transaction was effected pursuant to a Rule 10b5-1 trading plan adopted by Mr. Havey.

/s/ Eric Burt, Attorney-in-fact 03/01/2018

Date

** Signature of Reporting Person

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.