MULLEN JAMES C Form 4/A

February 11, 2013

### UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB Number:

Check this box if no longer subject to Section 16. Form 4 or Form 5

obligations

STATEMENT OF CHANGES IN 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

may continue. See Instruction

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \*

**MULLEN JAMES C** 

(First) (Last)

(Middle)

2. Issuer Name and Ticker or Trading

Symbol

PATHEON INC [PTI]

3. Date of Earliest Transaction

(Month/Day/Year) 12/18/2012

4721 EMPEROR BLVD, SUITE 200

(Street)

4. If Amendment, Date Original

Filed(Month/Day/Year) 01/02/2013

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

**OMB APPROVAL** 

Expires:

response...

Estimated average

burden hours per

3235-0287

January 31,

2005

0.5

10% Owner \_X\_\_ Director X\_ Officer (give title Other (specify

below) Chief Executive Officer

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

below)

DURHAM, NC 27703

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1.Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3) (Month/Day/Year)

3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)

5. Amount of 7. Nature of Securities Ownership Indirect Beneficially Form: Direct Beneficial Owned (D) or Ownership Indirect (I) Following (Instr. 4) Reported (Instr. 4)

(A) Transaction(s) or (Instr. 3 and 4)

Code V Amount (D) Price \$

Restricted 12/18/2012 Voting

Shares

111,041 X A (1)

3.24 1,312,085 (2)

D

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

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

#### Edgar Filing: MULLEN JAMES C - Form 4/A

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exer	cisable and	7. Title	and	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transacti	onNumber	Expiration D	ate	Amoun	t of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Underly	ying	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivativ	e		Securit	ies	(Instr. 5)	Bene
	Derivative				Securities		(Instr. 3 and 4)		Own		
	Security				Acquired						Follo
					(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						
					4, and 5)						
								,	Amount		
									or		
							Expiration Date		Number		
									of		
				Code V	(A) (D)				Shares		

# **Reporting Owners**

Reporting Owner Name / Address	Relationships							
	Director	10% Owner	Officer	Other				
MULLEN JAMES C 4721 EMPEROR BLVD SUITE 200 DURHAM, NC 27703	X		Chief Executive Officer					

## **Signatures**

/s/ David S Field, Attorney-in-fact

02/11/2013

\*\*Signature of Reporting Person Date

## **Explanation of Responses:**

- 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).

On 11/27/12, the Company issued, to each holder of record as of such date, subscription rights to acquire restricted voting shares of the Company (the "Rights Offering"). On December 18, 2012, the reporting person fully exercised his basic subscription privilege to

purchase 87,348 restricted voting shares, and exercised his over-subscription privilege to purchase additional shares unclaimed by other

- (1) rights holders. At the time of the original Form 4, the reporting person determined that he would be allocated an additional 8,704 shares pursuant to his over-subscription privilege. After the filing of the original Form 4, it was determined that the reporting person was allocated more shares than initially determined. The reporting person has filed this Form 4/A to report the final number of shares allocated to him in connection with the Rights Offering, which was 14,989 shares more than the number originally reported.
- The subscription price was converted from C\$3.19 based on the December 18, 2012 closing rate of exchange of 0.9856 Canadian dollars per U.S. dollars as quoted by Reuters.

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.

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