SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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Section 16. Form 4 or Form 5	-
bligations may continue. See	
nstruction 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

1. Name and Address of Reporting Person*			2. Issuer Name and Ticker or Trading Symbol Harmony Biosciences Holdings, Inc. [HRMY	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)						
<u>Serafin Andrew</u>]		Director Officer (give title	10% Owner Other (specify				
(Last) (Eiret)		(Middle)			below)	below)				
COOLUL OF DALLANTTOLULA DULLE OLUTTE DAE			3. Date of Earliest Transaction (Month/Day/Year) 08/21/2020		Chief Business Officer					
(Street)	PA	19462	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line)	vidual or Joint/Group Filin	g (Check Applicable				
PLYMOUTH MEETING				X	X Form filed by One Reporting Perso					
					Form filed by More that Person	an One Reporting				
(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. Transa Code (8)				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	08/21/2020		С		32,214	A	(1)	32,214	D	
Common Stock	08/21/2020		С		6,871	A	(1)	39,085	D	

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)															
Derivative Conversion Date		3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	Code (Instr.		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		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	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		Transaction(s) (Instr. 4)		
Series A Preferred Stock	(1)	08/21/2020		С			207,869 ⁽²⁾	(1)	(1)	Common Stock	32,214 ⁽²⁾	\$0.00	0	D	
Series C Preferred Stock	(1)	08/21/2020		С			51,681 ⁽³⁾	(1)	(1)	Common Stock	6,871 ⁽³⁾	\$0.00	0	D	

Explanation of Responses:

1. Each share of preferred stock automatically converted on a one-for-one basis into Common stock upon the closing of the Issuer's initial public offering.

2. Includes 7,869 shares received upon the payment of an in-kind dividend on the Series A Preferred Stock on August 21, 2020.

3. Includes 661 shares received upon the payment of an in-kind dividend on the Series C Preferred Stock on August 21, 2020.

Remarks:

/s/ Stephanie Wisdo, Attorneyin-fact for Andrew Serafin 08/25/2020

** 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.

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