

STEINMETZ MICHAEL  
Form 4  
October 28, 2013

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
Estimated average burden hours per response... 0.5

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 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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Clarus Lifesciences II, L.P.

2. Issuer Name and Ticker or Trading Symbol  
AERIE PHARMACEUTICALS INC  
[AERI]

5. Relationship of Reporting Person(s) to Issuer  
  
(Check all applicable)

(Last) (First) (Middle)  
C/O CLARUS VENTURES,  
LLC, 101 MAIN STREET, SUITE  
1210

3. Date of Earliest Transaction  
(Month/Day/Year)  
10/25/2013

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

(Street)  
CAMBRIDGE, MA 02142

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)  
\_\_\_\_ Form filed by One Reporting Person  
\_\_X\_\_ Form filed by More than One Reporting Person

(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. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	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
Common Stock	10/25/2013		C		2,727,272	A	①
Common Stock	10/25/2013		C		420,222	A	②
Common Stock	10/25/2013		C		184,812	A	\$ 0.05
Common Stock	10/25/2013		P		321,000	A	\$ 10
							2,727,272
							3,147,494
							3,332,306
							3,653,306
							D ④
							D ④
							D ④
							D ④

Edgar Filing: STEINMETZ MICHAEL - Form 4

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

**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 control number.**

SEC 1474  
(9-02)

**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. Transaction Code (Instr. 8)	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 Underlying Security (Instr. 3 and 4)	Amount of Underlying Security
				Code	V (A) (D)	Date Exercisable Expiration Date	Title	Num Shar
Series B Convertible Preferred Stock	<u>(1)</u>	10/25/2013		C	2,727,272	<u>(1)</u> <u>(1)</u>	Common Stock	2,727,272
Series B Warrants	\$ 0.05	10/25/2013		C	184,812	<u>(3)</u> 12/07/2019	Common Stock	184,812
Convertible Notes	<u>(2)</u>	10/25/2013		C	420,222	<u>(2)</u> <u>(2)</u>	Common Stock	420,222

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Clarus Lifesciences II, L.P. C/O CLARUS VENTURES, LLC 101 MAIN STREET, SUITE 1210 CAMBRIDGE, MA 02142		X		
Clarus Ventures II GP, L.P. C/O CLARUS VENTURES, LLC 101 MAIN STREET, SUITE 1210 CAMBRIDGE, MA 02142		X		
Clarus Ventures II, LLC C/O CLARUS VENTURES, LLC 101 MAIN STREET, SUITE 1210 CAMBRIDGE, MA 02142		X		
GALAKATOS NICHOLAS C/O CLARUS VENTURES, LLC 101 MAIN STREET, SUITE 1210 CAMBRIDGE, MA 02142		X		

HENNER DENNIS  
 C/O CLARUS VENTURES, LLC X X  
 101 MAIN STREET, SUITE 1210  
 CAMBRIDGE, MA 02142

LIPTAK ROBERT  
 C/O CLARUS VENTURES, LLC X  
 101 MAIN STREET, SUITE 1210  
 CAMBRIDGE, MA 02142

Simon Nicholas  
 C/O CLARUS VENTURES, LLC X  
 101 MAIN STREET, SUITE 1210  
 CAMBRIDGE, MA 02142

STEINMETZ MICHAEL  
 C/O CLARUS VENTURES, LLC X  
 101 MAIN STREET, SUITE 1210  
 CAMBRIDGE, MA 02142

WHEELER KURT  
 C/O CLARUS VENTURES, LLC X  
 101 MAIN STREET, SUITE 1210  
 CAMBRIDGE, MA 02142

## Signatures

/s/ Robert Liptak, Manager of Clarus Ventures II, LLC, general partner of Clarus Ventures II GP, L.P., general partner of Clarus Lifesciences II, L.P. 10/28/2013  
 \_\_Signature of Reporting Person Date

/s/ Robert Liptak, Manager of Clarus Ventures II, LLC, general partner of Clarus Ventures II GP, L.P. 10/28/2013  
 \_\_Signature of Reporting Person Date

/s/ Robert Liptak, Manager of Clarus Ventures II, LLC 10/28/2013  
 \_\_Signature of Reporting Person Date

/s/ Robert Liptak, on behalf of Dennis Henner 10/28/2013  
 \_\_Signature of Reporting Person Date

/s/ Robert Liptak, on behalf of Nicholas Galakatos 10/28/2013  
 \_\_Signature of Reporting Person Date

/s/ Robert Liptak 10/28/2013  
 \_\_Signature of Reporting Person Date

/s/ Robert Liptak, on behalf of Nicholas Simon 10/28/2013  
 \_\_Signature of Reporting Person Date

/s/ Robert Liptak, on behalf of Michael Steinmetz

10/28/2013

\_\_Signature of Reporting Person

Date

/s/ Robert Liptak, on behalf of Kurt Wheeler

10/28/2013

\_\_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).
- (1) The Series B Convertible Preferred Stock automatically converted into Common Stock on a 1 for 5 basis upon the closing of the Issuer's initial public offering without payment of further consideration and had no expiration date.
- (2) The Convertible Notes automatically converted into Common Stock on a 10 for 1 basis upon the closing of the Issuer's initial public offering without payment of further consideration and had no expiration date.
- (3) The warrants were immediately exercisable.  
  
Securities held of record by Clarus Lifesciences II, L.P. ("Clarus"). Clarus Ventures II GP, L.P. (the "GPLP"), as the sole general partner of Clarus, may be deemed to beneficially own certain of the shares held of record by Clarus. The GPLP disclaims beneficial ownership of all shares held of record by Clarus in which the GPLP does not have an actual pecuniary interest. Clarus Ventures II, LLC (the "GPLLC"), as the sole general partner of the GPLP, may be deemed to beneficially own certain of the shares held of record by Clarus.
- (4) Each of Messrs. Galakatos, Henner, Liptak, Simon, Steinmetz and Wheeler, as individual Managing Directors of the GPLLC, may be deemed to beneficially own certain of the shares held of record by Clarus. Each of the GPLLC and Messrs. Galakatos, Henner, Liptak, Simon, Steinmetz and Wheeler disclaims beneficial ownership of all shares held of record by Clarus in which it or he, as applicable, does not have an actual pecuniary interest.

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.