Insys Therapeutics, Inc.
Form SC 13G
November 18, 2014

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

**SCHEDULE 13G** 

U	Indei	· the	Securities	Exchange .	Act of	1934	ļ
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#### INSYS THERAPEUTICS, INC.

(Name of Issuer)

#### Common Stock, \$0.0002145 par value per share

(Title of Class of Securities)

45824V209 (CUSIP Number)

#### **December 31, 2013**

(Date of Event Which Requires Filing of this Statement)

Check the appropriate box to designate the rule pursuant to which this Schedule is filed:

Rule 13d-1(b)

Rule 13d-1(c)

Rule 13d-1(d)

<sup>\*</sup> The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter the disclosures provided in a prior cover page.

The information required in the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange Act of 1934 ("Act") or otherwise subject to the liabilities of that section of the Act but shall be subject to all other provisions of the Act (however, see the Notes).

Page 1 of 10 pages

Names of Reporting
Persons
John N. Kapoor Trust,
dtd 9/20/89

Check the Appropriate
2 Box if a Member of a
Group
(a)

(a)

(b) (1)

3 SEC Use Only

Citizenship or Place of

4 Organization

Illinois

Nursibber Voting Power

of **21,124,805** 

Shares

Benediciedly oting Power

Owned

by

Eachole Dispositive Power

Rep21t1124,805

Person

Witshared Dispositive Power

Aggregate Amount
Beneficially Owned by
Each Reporting Person
21,124,805

Check if the Aggregate 10 Amount in Row (9) Excludes Certain Shares

Percent of Class
Represented by Amount in Row (9)
61.9%(2)

Type of Reporting Person **200** 

(1) This schedule is filed by John N. Kapoor Trust, dtd 9/20/89, of which Dr. Kapoor is the sole trustee and sole beneficiary; EJ Financial/NEO Management, L.P., of which Dr. Kapoor is Managing General Partner; and The John

and Editha Kapoor Charitable Foundation, or the Charitable Foundation, of which Dr. Kapoor is a joint trustee. The persons and entities named in this footnote are referred to individually herein as a "Reporting Person" and collectively as the "Reporting Persons."

(2) The percentage is based on an aggregate of 34,152,259 shares of common stock outstanding as of March 28, 2014.

2

Names of Reporting

1 Persons

John N. Kapoor

Check the Appropriate

- 2 Box if a Member of a Group
  - (a)
  - (b) (1)
- 3 SEC Use Only

Citizenship or Place of

4 Organization

U.S.A.

Nursibler Voting Power

of  $\frac{2}{5}$ ,990(2)

Shares

Bensthianiadh Woting Power

Owad 162,280

by

Eachole Dispositive Power

Repto 190(2)

Person

Witshared Dispositive Power

21,162,280

Aggregate Amount
Beneficially Owned by
Each Reporting Person
21,168,270

Check if the Aggregate 10 Amount in Row (9) Excludes Certain Shares

Percent of Class
Represented by Amount in Row (9)
62.0%(3)

12 Type of Reporting Person IV

(1) This schedule is filed by John N. Kapoor Trust, dtd 9/20/89, of which Dr. Kapoor is the sole trustee and sole beneficiary; EJ Financial/NEO Management, L.P., of which Dr. Kapoor is Managing General Partner; and The John and Editha Kapoor Charitable Foundation, or the Charitable Foundation, of which Dr. Kapoor is a joint trustee. The

persons and entities named in this footnote are referred to individually herein as a "Reporting Person" and collectively as the "Reporting Persons."

- (2) Represents shares that Dr. Kapoor has the right to acquire within 60 days of March 28, 2014 pursuant to the exercise of stock options.
- (3) The percentage is based on an aggregate of 34,152,259 shares of common stock outstanding as of March 28, 2014.

Names of Reporting

Persons

EJ Financial/NEO Management, L.P.

Check the Appropriate

- 2 Box if a Member of a Group
  - (a)
  - (b) (1)
- 3 SEC Use Only

Citizenship or Place of

4 Organization

Illinois

Nursibber Voting Power

of  $\vec{0}$ 

Shares

Ben Shiraicad Woting Power

Ow28d144

by

Eachole Dispositive Power

Reporting

Person

Witshared Dispositive Power

28,144

Aggregate Amount Beneficially Owned by

Each Reporting Person

28,144

Check if the Aggregate

10 Amount in Row (9)

**Excludes Certain Shares** 

Percent of Class

Represented by Amount

<sup>1</sup> in Row (9)

0.1%(2)

 $12\frac{\text{Type of Reporting Person}}{\text{PN}}$ 

(1) This schedule is filed by John N. Kapoor Trust, dtd 9/20/89, of which Dr. Kapoor is the sole trustee and sole beneficiary; EJ Financial/NEO Management, L.P., of which Dr. Kapoor is Managing General Partner; and The John

and Editha Kapoor Charitable Foundation, or the Charitable Foundation, of which Dr. Kapoor is a joint trustee. The persons and entities named in this footnote are referred to individually herein as a "Reporting Person" and collective as the "Reporting Persons."	l <b>y</b>
(2) The percentage is based on an aggregate of 34,152,259 shares of common stock outstanding as of March 28, 2014	1.

Names of Reporting Persons

### 1 The John and Editha Kapoor Charitable Foundation

Check the Appropriate

- 2 Box if a Member of a Group
  - (a)
  - (b) (1)
- 3 SEC Use Only

Citizenship or Place of

4 Organization

Illinois

Nursibler Voting Power

of  $\mathbf{0}$ 

Shares

Ben Shiraried Woting Power

Owner 1

by

Eachole Dispositive Power

Reporting

Person

Witshared Dispositive Power

9,331

Aggregate Amount
Beneficially Owned by
Each Reporting Person
9,331

Check if the Aggregate 10 Amount in Row (9) Excludes Certain Shares

Percent of Class
Represented by Amount in Row (9)
0.1%(2)

 $12 \frac{\text{Type of Reporting Person}}{\mathbf{OO}}$ 

- (1) This schedule is filed by John N. Kapoor Trust, dtd 9/20/89, of which Dr. Kapoor is the sole trustee and sole beneficiary; EJ Financial/NEO Management, L.P., of which Dr. Kapoor is Managing General Partner; and The John and Editha Kapoor Charitable Foundation, or the Charitable Foundation, of which Dr. Kapoor is a joint trustee. The persons and entities named in this footnote are referred to individually herein as a "Reporting Person" and collectively as the "Reporting Persons."
- (2) The percentage is based on an aggregate of 34,152,259 shares of common stock outstanding as of March 28, 2014.

Name of Issuer:

Item 1(a).

Insys Therapeutics, Inc.

Address of Issuer's Principal Executive Offices:

1333 South Spectrum Blvd

**Item 1(b).** 

Suite 100

Chandler, AZ 85286

Name of Person Filing:

This Schedule 13G is being jointly filed by:

Item 2(a). John N. Kapoor Trust, dtd 9/20/89

John N. Kapoor

EJ Financial/NEO Management, L.P.

The John and Editha Kapoor Charitable Foundation Address of Principal Business Office, or, if none, Residence: c/o EJ Financial Enterprises, Inc.

Item 2(b). 100 North Field Drive, Suite 150

Lake Forest, IL 60045

Item 2(c). Citizenship:

John N. Kapoor Trust, dtd 9/20/89 -- Illinois

John N. Kapoor – U.S.A.

EJ Financial/NEO Management, L.P. -- Illinois

The John and Editha Kapoor Charitable Foundation -- Illinois

Item 2(d). Title of Class of Securities:

Common Stock

Item 2(e). CUSIP No.:

45824V209

**Item 3.** Not Applicable.

#### Item 4. Ownership

Entity	Shares Held	Sole Voting	Shared Voting	Sole Dispositive	Shared Dispositive	Beneficial Ownership	Percentage of
	Directly	Power	Power	Power	Power		Class (1)
John N. Kapoor Trust, dtd 9/20/89	21,124,805	21,124,805		21,124,805		21,124,805	61.9%
John N. Kapoor	5,990	5,990	21,162,280	5,990	21,162,280	21,168,270	62%
EJ Financial/NEO Management, L.P.	28,144		28,144		28,144	28,144	0.08%
The John and Editha Kapoor Charitable Foundation	9,331		9,331		9,331	9,331	0.02%

# Ownership of Five Percent or Less of a Class.

If this statement is being filed to report the fact that as of the date hereof, the Reporting Persons have ceased to be the beneficial owner of more than five percent of the class of securities, check the following:

# **Item** Ownership of More than Five Percent on Behalf of Another Person

Not applicable

Item Identification and Classification of the Subsidiary Which Acquired the Security Being Reported on By
 the Parent Holding Company or Control Person
 Not applicable

# Item Identification and Classification of Members of the Group

See Exhibit 99.1

# Item Notice of Dissolution of Group

Not applicable

#### **SIGNATURE**

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

Dated: August 14, 2014

/s/ John N. Kapoor JOHN N. KAPOOR

JOHN N. KAPOOR TRUST, DTD EJ FINANCIAL/NEO 9/20/89 MANAGMENT, L.P.

By: /s/ John N. Kapoor By: /s/ John N. Kapoor

John N. Kapoor, Trustee John N. Kapoor, Managing

General Partner

THE JOHN AND EDITHA KAPOOR CHARITABLE FOUNDATION

By: /s/ John N. Kapoor

John N. Kapoor, Joint Trustee

### **EXHIBIT INDEX**

### Exhibit No.

Agreement pursuant to 13d-1(k)(1) among John N. Kapoor, John N. Kapoor Trust, dtd 9/20/89, EJ Financial/NEO Management, L.P. and The John and Editha Kapoor Charitable Foundation.