SEC Form 3 FORM 3

UNITED STATES SECURITIES AND EXCHANGE

COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL

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3235-0104

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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 A Sundaram | orting Person [*] | Requiring (Month/Da | 2. Date of Event Requiring Statement (Month/Day/Year) 07/06/2021 3. Issuer Name and Ticker or Trading Symbol <u>CATALYST PHARMACEUTICALS, INC.</u> [CPRX] | | | | | | | |
|--|----------------------------|------------------------|---|--------------------|--|--|--|---|--|--|
| (Last) (First) (Middle) 355 ALHAMBRA CIRCLE SUITE 801 | | | | | 4. Relationship of Reportin Issuer (Check all applicable) Director X Officer (give | 10% O Other (| wner 6. I | 5. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable Line) | | |
| (Street) CORAL GABLES | FL | 33134 | _ | | Chief Product De | below) evel. Offic | `. | K Form filed I Person | by One Reporting | |
| (City) | (State) | (Zip) | | | | | | | | |
| Table I - Non-Derivative Securities Beneficially Owned | | | | | | | | | | |
| 1. Title of Security (Instr. 4) | | | | | | virect Own direct | 4. Nature of Indirect Beneficial Ownership (Instr. 5) | | | |
| Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) | | | | | | | | | | |
| E) | | | 2. Date Exercisable and Expiration Date (Month/Day/Year) | | 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4) | | 4. Conversion or Exercise | 5. Ownership Form: Direct (D) | 6. Nature of Indirect Beneficial Ownership (Instr. | |
| | | | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | Price of Derivative Security | Direct (D) or Indirect (I) (Instr. 5) | 5) | |
| Options to p | urchase Com | mon Stock | (1) | 07/06/2028 | Common Stock | 300,000 | 5.49 | D | | |

Explanation of Responses:

1. Options will vest in four equal tranches on July 6, 2022, 2023, 2024 and 2025.

| /s/ I | Preethi | Sundaram |
|-------|---------|------------|
| | | o un un un |

** Signature of Reporting Person

07/13/2021

Date

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

 \ast If the form is filed by more than one reporting person, see Instruction 5 (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.