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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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

FIRST MANHATTAN CO		2. Date of Event Requiring Statement (Month/Day/Year) 05/23/2013		3. Issuer Name and Ticker or Trading Symbol VIVUS INC [VVUS]					
(Last) (First) (Middle) 399 PARK AVENUE		Ī	4. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director X 10% Owner Officer (give title X Other (specify			 5. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check 			
(Street) NEW YORK NY	10022				below) SEE REMAR	below)	Ap		by One Reporting Person by More than One Person
(City) (State	e) (Zip)								
Table I - Non-Derivative Securities Beneficially Owned									
1. Title of Security (Instr. 4)					2. Amount of Securities Beneficially Owned (Instr. 4)	3. Ownersh Form: Direct or Indirect (Instr. 5)	ct (D) (Insi	4. Nature of Indirect Beneficial Ownership (Instr. 5)	
Common Stock, \$0.0	001 par value ("Com	nmon Sto	ck")		4,393,316	I	See	See footnotes ⁽¹⁾⁽²⁾⁽³⁾⁽⁹⁾	
Common Stock					5,000	D ⁽⁴⁾⁽⁹)		
Common Stock					2,000	D ⁽⁵⁾⁽⁹)		
Common Stock					1,500	D ⁽⁶⁾⁽⁹)		
Common Stock					100	D ⁽⁷⁾⁽⁹)		
Common Stock					900	D ⁽⁸⁾⁽⁹)		
		(e.g			e Securities Beneficially ints, options, convertible		s)		
1. Title of Derivative Security (Instr. 4) 2. Date Exercisab Expiration Date (Month/Day/Year)			ate	and 3. Title and Amount of Securities 4. Underlying Derivative Security (Instr. 4) 6 or Exe Price 0			sion Ownership Beneficial Owne cise Form: (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
			Date Exercisable	Expiratior Date	n Title	Amount or Number of Shares	Derivative Security	or Indirect (I) (Instr. 5)	
1. Name and Address of FIRST MANHA			· · · · · ·			, , , , , , , , , , , , , , , , , , ,			
(Last) 399 PARK AVENUI	(First) E	(Middle)							
(Street) NEW YORK	NY	10022							
(City)	(State)	(Zip)							
1. Name and Address of Reporting Person [*] First BioMed Management Associates LLC]					
(Last) 399 PARK AVENUI	(First) E	(Middle)							
(Street) NEW YORK	NY	10022							
(City)	(State)	(Zip)							
1. Name and Address of Reporting Person [*] ROSENMAN HERM				1					
(Last)	(First)	(Middle)							

8420 SANTALUZ VILLAGE GREEN E. #100								
(Street) SAN DIEGO	CA	92121						
(City)	(State)	(Zip)						
1. Name and Address of Reporting Person* BIRO JON C								
(Last) 5858 WESTHEIM	(First)	(Middle)						
SUITE 200								
(Street) HOUSTON	ТХ	77057						
(City)	(State)	(Zip)						
1. Name and Address of <u>Norton David Y</u>								
(Last) 8 GREENHOLM S	(First) STREET, APT C	(Middle)						
(Street) PRINCETON	NJ	08540						
(City)	(State)	(Zip)						
1. Name and Address of Reporting Person* KEATING MELVIN L								
(Last) 18 DRIFTWOOD	(First) DRIVE	(Middle)						
(Street) LIVINGSTON	NJ	07039						
(City)	(State)	(Zip)						

Explanation of Responses:

1. The shares of Common Stock reported on this line may be deemed to be indirectly beneficially owned by First Manhattan Co., a New York limited partnership ("FMC"), certain of its partners and/or First BioMed Management Associates, LLC ("FBMA"), a Delaware limited liability company, as described herein and in footnote 2 below. The sole general partner of FMC is First Manhattan LLC ("FMLLC"), a New York limited liability company. The sole managing members of FBMA are FMC and Samuel F. Colin ("Dr. Colin").

2. The securities reported on this line include (i) a number of shares of Common Stock which represents a proportion of the aggregate number of shares of Common Stock directly held by First Health, L.P., First Health Limited and First Health Associates, L.P. (collectively, the "First Health Funds"), pooled investment vehicles to which FMC acts as the investment advisor, which proportion is attributable to the limited partnership interests of certain partners of FMC that are also limited partners of the First Health Funds; (ii) shares of Common Stock directly held by First BioMed, L.P., and First BioMed Portfolio, L.P., pooled investment vehicles to which FMBA acts as the investment advisor; and (iii) shares of Common Stock held in the accounts of partners, and the immediate family of partners, including shares of Common Stock held in Dr. Colin's personal account and shares of Common Stock held by trusts established for the benefit of Dr. Colin's family members.

3. (continued from footnote (2)) The shares of Common Stock reported on this line include only those shares in which FMC, certain of its partners and/or FMBA, as applicable, may be deemed to have a pecuniary interest (as such term is defined under Rule 16a-1(a)(2) of the Securities Exchange Act of 1934, as amended (the "1934 Act")) and accordingly does include additional shares which FMC and/or FMBA, as applicable, may be deemed to beneficially own for purposes of Section 13(d) of the 1934 Act as reported in the Schedule 13D filed by the reporting persons (the "Schedule 13D").

4. The shares of Common Stock reported on this line are held directly by Herman Rosenman.

5. The shares of Common Stock reported on this line are held directly by Jon C. Biro.

6. The shares of Common Stock reported on this line are held directly by David York Norton.

7. The shares of Common Stock reported on this line are held directly by Rolf Bass.

8. The shares of Common Stock reported on this line are held directly by Melvin L. Keating.

9. For purposes of Rule 16a-1(a)(2) of the 1934 Act, each of the reporting persons disclaims beneficial ownership of the shares reported herein to the extent such beneficial ownership exceeds its pecuniary interest therein.

Remarks:

As described in Item 4 of Amendment No. 5 to the Schedule 13D, the reporting persons and Alexander J. Denner, Ph.D. ("Dr. Denner") and his affiliated funds and their investment manager (collectively with Dr. Denner, the "Denner Parties") may be deemed to be a "group" pursuant to Rule 13d-5(b)(1) promulgated under the1934 Act and as such may be deemed, collectively, to beneficially own more than 10% of the outstanding shares of Common Stock for purposes of Section 13(d) of the 1934 Act. The reporting persons each disclaim beneficial ownership of any shares of Common Stock beneficially owned by the Denner Parties.

s/ Neal K. Stearns, Managing Member of First Manhattan LLC, General Partner of First Manhattan Co. /s/ Neal K. Stearns, Managing Member of First Manhattan LLC, General Partner of First Manhattan Co., Co-Managing Member of First BioMed

Management Associates, LLC

06/03/2013

06/03/2013

<u>/s/ Herman Rosenman</u>	06/03/2013
/s/ Jon C. Biro	06/03/2013
/s/ David York Norton	06/03/2013
<u>/s/ Rolf Bass</u>	06/03/2013
<u>/s/ Melvin L. Keating</u>	06/03/2013
** 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 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.

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