SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number:	3235-0287				
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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

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 [*] Alafi Christopher D		2. Issuer Name and Ticker or Trading Symbol Intra-Cellular Therapies, Inc. [ITCI]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
		<u> </u>	X Director 10% Owner				
· · · · · · · · · · · · · · · · · · ·			Officer (give title Other (specify				
(Last) (First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 03/31/2021	below) below)				
C/O ALAFI CAPITAL COMPANY, LLC 8 ADMIRAL DRIVE, SUITE 324		05/51/2021					
			<u> </u>				
		4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)				
(Street)			X Form filed by One Reporting Person				
EMERYVILLE CA	94608		Form filed by More than One Reporting Person				
(City) (State)	(Zip)						

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

Tac			squire	.u, D	isposed e	, 01 L		any owned		
1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	Code (Instr.		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)		5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Ownership	
			Code	v	Amount	(A) or (D)	Price	- Reported Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	03/31/2021		A		464	A	\$33.93	346,795	D	
Common Stock								4,743,770	I	Held by Alafi Capital Company, LLC ⁽¹⁾
Common Stock								503,753	I	Held as Trustee of The Moshe H. Alafi and Margaret E Alafi Generation Skipping Trust ⁽²⁾
Common Stock								170,000	I	Held by Christophe D Alafi Family Trust ⁽³⁾

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 1. Title of 7. Title and Amount of 3. Transaction 3A. Deemed 5. Number 6. Date Exercisable and 8. Price of 9. Number of 10. 11. Nature Conversion Derivative Security Date Execution Date, if any Transaction Code (Instr. of Expiration Date (Month/Day/Year) Derivative derivative Ownership of Indirect Beneficial (Month/Dav/Year) Derivative Securities or Exercise Security Securities Form: (Instr. 3) Price of (Month/Day/Year) 8) Securities Underlying (Instr. 5) Beneficially Direct (D) Ownership Derivative Acquired Derivative Owned or Indirect (I) (Instr. 4) (Instr. 4) (A) or Disposed Security (Instr. 3 and 4) Following Reported Security of (D) (Instr. 3, 4 and 5) Transaction(s) (Instr. 4) Amount or Number Expiration Date Date v (D) Title Code (A) Exercisable Shares

Explanation of Responses:

1. Dr. Alafi is a managing partner of Alafi Capital Company, LLC and may be deemed to beneficially own the shares held by Alafi Capital Company, LLC. Dr. Alafi disclaims beneficial ownership of the securities held by Alafi Capital Company, LLC except to the extent of his pecuniary interest therein.

2. Dr. Alafi is the Trustee of The Moshe H. Alafi and Margaret E. Alafi Generation-Skipping Trust. Dr. Alafi disclaims beneficial ownership of the securities held by the trust except to the extent of his pecuniary interest therein, if any.

3. Shireen Michele Alafi is the Trustee of the Christopher D Alafi Family Trust. Dr. Alafi disclaims beneficial ownership of the securities held by the trust except to the extent of his pecuniary interest therein, if any.

Remarks:

/s/ Lawrence J. Hineline, Attorney-in-fact

04/02/2021

** 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.

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.