## Edgar Filing: Toselli Richard M. - Form 4

| Toselli Richa<br>Form 4  | rd M.  |  |  |  |                                 |                    |                     |  |  |   |  |  |
|--|--|--|--|--|---------------------------------|--------------------|---------------------|--|--|---|--|--|
| January 22, 2  | 019  |  |  |  |                                 |                    |                     |  |  |   |  |  |
| FORM 4 UNITED STATES SECURITIES AND EXCHANCE COMMISSION                |  |  |  |  |                                 |                    |                     |  | PPROVAL  |   |  |  |
|  | Washington, D.C. 20549                                 |  |  |  |                                 |                    | COMMISSION          | OMB<br>Number:   | 3235-0287  |   |  |  |
| Check this<br>if no long   | er   | STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF<br>SECURITIES  |  |  |                                 |                    |                     |  |  | January 31,<br>2005   |  |  |
| subject to<br>Section 10<br>Form 4 or                                  | <b>SIAIEN</b><br>5.                                    |  |  |  |                                 |                    |                     |  |  | average<br>Irs per  |  |  |
| Form 5<br>obligation<br>may conti<br><i>See</i> Instru<br>1(b).        | <sup>is</sup> nue. Section 17(                         | Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,<br>Section 17(a) of the Public Utility Holding Company Act of 1935 or Section<br>30(h) of the Investment Company Act of 1940 |  |  |                                 |                    |                     |  |  |   |  |  |
| (Print or Type R   | esponses)  |  |  |  |                                 |                    |                     |  |  |   |  |  |
| 1. Name and Address of Reporting Person <u>*</u><br>Toselli Richard M. |  |  | 2. Issuer Name <b>and</b> Ticker or Trading<br>Symbol<br>INVIVO THERAPEUTICS |  |                                 |                    | ıg                  | 5. Relationship of Reporting Person(s) to Issuer   |  |   |  |  |
|  |  |  | HOLDINGS CORP. [NVIV]  |  |                                 |                    |                     | (Check all applicable)   |  |   |  |  |
| HOLDINGS   | (First) (<br>O THERAPEUT<br>CORP., ONE<br>SQUARE, SUIT |  | 3. Date of<br>(Month/D<br>01/18/20   |  | ansaction                       |                    |                     | Director<br>X Officer (give<br>below)<br>S   |  | o Owner<br>er (specify  |  |  |
| D14402   | (Street) 4. If Amer                                    |  |  | endment, Date Original                 |                                 |                    |                     | 6. Individual or Joint/Group Filing(Check  |  |   |  |  |
| CAMBRIDGE, MA 02139  |  |  |  | nth/Day/Year)                          |                                 |                    |                     | Applicable Line)<br>_X_ Form filed by One Reporting Person<br>Form filed by More than One Reporting<br>Person      |  |   |  |  |
| (City)   | (State)  | (Zip)  | Table  | e I - Non-D                            | erivative                       | Securi             | ties Acq            | uired, Disposed o  | f, or Beneficial   | lly Owned   |  |  |
| 1.Title of<br>Security<br>(Instr. 3)                                   | 2. Transaction Dat<br>(Month/Day/Year)                 | Execution<br>any   |  | 3.<br>Transactic<br>Code<br>(Instr. 8) | on(A) or D<br>(D)<br>(Instr. 3, | 4 and<br>(A)<br>or | d of<br>5)          | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |  |
| Common<br>Stock (1)  | 01/18/2019   |  |  | Code V<br>F                            | Amount<br>94                    | (D)<br>D           | Price<br>\$<br>1.58 | 10,945   | D  |   |  |  |

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.

## Edgar Filing: Toselli Richard M. - Form 4

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transactio<br>Code<br>(Instr. 8) | 5.<br>onNumber<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5) |                     | ate                | Amou<br>Unde<br>Secur | le and<br>unt of<br>rlying<br>tities<br>. 3 and 4) | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Nu<br>Deriv<br>Secur<br>Bene<br>Owne<br>Follo<br>Repo<br>Trans<br>(Instr |
|---|---|---|---|--|---|---------------------|--------------------|-----------------------|--|---|---|
|   |   |   |   | Code V                                 | (A) (D)   | Date<br>Exercisable | Expiration<br>Date | Title                 | Amount<br>or<br>Number<br>of<br>Shares             |   |   |

# **Reporting Owners**

| <b>Reporting Owner Name / Address</b>   |            | Relationships |         |             |  |  |  |
|---|------------|---------------|---------|-------------|--|--|--|
| ForB o mini-  | Director   | 10% Owner     | Officer | Other       |  |  |  |
| Toselli Richard M.<br>C/O INVIVO THERAPEUTICS HOLDINGS CORP.<br>ONE KENDALL SQUARE, SUITE B14402<br>CAMBRIDGE, MA 02139 |            |               |         | See Remarks |  |  |  |
| Signatures  |            |               |         |             |  |  |  |
| /s/ Richard M.<br>Toselli   | 01/22/2019 |               |         |             |  |  |  |

\*\*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).
- Represents shares sold by the reporting person pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on November 20, (1)2018 to satisfy tax withholding obligations applicable to the vesting of 250 stock-settled RSUs

### **Remarks:**

### President and Chief Executive Officer

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.