Edgar Filing: TANDEM DIABETES CARE INC - Form 3

TANDEM DIABETES CARE INC

Form 3

November 13, 2013

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

OMB Number:

3235-0104

Expires:

January 31, 2005

0.5

Estimated average burden hours per

response...

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

SECURITIES

30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person * Statement TANDEM DIABETES CARE INC [TNDM] BLICKENSTAFF KIM D (Month/Day/Year) 11/13/2013 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) C/O TANDEM DIABETES (Check all applicable) CARE, INC.,, 11045 ROSELLE STREET _X_ Director 10% Owner (Street) _X__ Officer Other 6. Individual or Joint/Group (give title below) (specify below) Filing(Check Applicable Line) PRESIDENT AND CEO _X_ Form filed by One Reporting Person SAN DIEGO. CAÂ 92121 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 1. Title of Security 2. Amount of Securities 3. 4. Nature of Indirect Beneficial Beneficially Owned Ownership (Instr. 4) Ownership (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Common Stock 81,617 I See footnote (1)Common Stock (2) 14,920 Ι See footnote (1) Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) owned directly or indirectly. Persons who respond to the collection of information contained in this form are not

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

required to respond unless the form displays a

currently valid OMB control number.

1. Title of Derivative Security
2. Date Exercisable and General Securities Underlying Conversion Ownership Derivative Security
3. Title and Amount of Securities Underlying Conversion Ownership Derivative Security Or Exercise Form of General Securities Underlying Or Exercise Form of Conversion Ownership Or Exercise Form of Ownership Or Exercise Ownership Ownersh

Edgar Filing: TANDEM DIABETES CARE INC - Form 3

	Date Exercisable	Expiration Date	(Instr. 4) Title	Amount or Number of Shares	Price of Derivative Security	Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	
Series A Preferred Stock	(3)	(4)	Common Stock	18,310	\$ 0	I	See footnote (1)
Series B Preferred Stock	(3)	(4)	Common Stock	75,938	\$ 0	I	See footnote (1)
Series D Preferred Stock	(3)	(4)	Common Stock	217,154	\$ 0	I	See footnote (1)
Preferred Stock Warrant	(5)	05/25/2022	Series D Preferred Stock (6)	45,450 <u>(6)</u>	\$ 4.4 (6)	I	See footnote (1)
Preferred Stock Warrant	(5)	07/03/2022	Series D Preferred Stock (7)	181,818 (7)	\$ 4.4 <u>(7)</u>	I	See footnote (1)
Incentive Stock Option (8)	(9)	(10)	Common Stock	271,272	\$ 1.11	D	Â
Stock Option (8)	(9)	(10)	Common Stock	303,446	\$ 1.11	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships					
<u>.</u>	Director	10% Owner	Officer	Othe		
BLICKENSTAFF KIM D						
C/O TANDEM DIABETES CARE, INC.,	ÂΧ	Â	PRESIDENT AND CEO	â		
11045 ROSELLE STREET	ΑΛ	А	A FRESIDENT AND CEO	A		
SAN DIEGO. CA 92121						

Signatures

/s/ David B. Berger, Attorney-in-Fact for Kim D. Blickenstaff

11/13/2013

**Signature of Reporting Person

Date

Explanation of Responses:

- * 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).
- (1) The securities are held by the Kim Blickenstaff Revocable Trust dated April 15, 2010.
- Restricted stock issued pursuant to the Issuer's Tandem Diabetes Care, Inc. 2006 Stock Incentive Plan. These shares vested as to 25% on 10/20/2012 and continue to vest in 36 equal monthly installments thereafter, and will automatically vest in full upon consummation of the Issuer's initial public offering.
- (3) The securities are immediately convertible.

Reporting Owners 2

Edgar Filing: TANDEM DIABETES CARE INC - Form 3

- (4) The expiration date is not relevant to the conversion of these securities.
- (5) The warrants are immediately exercisable.
- (6) Upon the consummation of the Issuer's initial public offering, these warrants will automatically become exercisable for 27,124 shares of the Issuer's common stock at an exercise price of \$7.37 per share.
- (7) Upon the consummation of the Issuer's initial public offering, these warrants will automatically become exercisable for 108,509 shares of the Issuer's common stock at an exercise price of \$7.37 per share.
- (8) Granted pursuant to the Issuer's Tandem Diabetes Care, Inc. 2006 Stock Incentive Plan.
- (9) The date of the option was 4/23/2013. All shares subject to the option will vest in 24 equal monthly installments commencing on 4/23/2013.
- (10) The expiration date for these options is 10 years from the date of grant.

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.