CareDx, Inc. Form 3

July 07, 2017 UNITED STATES SECURITIES AND EXCHANGE COMMISSION **OMB APPROVAL** FORM 3 Washington, D.C. 20549 OMB 3235-0104 Number: January 31, **INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF** Expires: 2005 **SECURITIES** Estimated average burden hours per Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, response... 0.5 Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 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 CareDx, Inc. [CDNA] Midroc Invest AB (Month/Day/Year) 07/03/2017 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) P.O. BOX 3002 (Check all applicable) (Street) 6. Individual or Joint/Group Filing(Check Applicable Line) 10% Owner Director _X_ Form filed by One Reporting Officer Other Person (give title below) (specify below) SOLNA, V7Â SE-169 03 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 2. Amount of Securities 4. Nature of Indirect Beneficial 1. Title of Security 3 Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect **(I)** (Instr. 5) D Â **Common Stock** 1,967,436 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 required to respond unless the form displays a currently valid OMB control number. Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 6. Nature of Indirect 1. Title of Derivative Security 2. Date Exercisable and 3. Title and Amount of 5. 4. Ownership Beneficial Ownership (Instr. 4) **Expiration** Date Securities Underlying Conversion (Month/Day/Year) Form of Derivative Security or Exercise (Instr. 5) (Instr. 4) Price of Derivative

Date

Exercisable Date

Expiration Title

Derivative

Security

Amount or

Number of

Security:

Direct (D)

or Indirect

				Shares		(I) (Instr. 5)	
Warrant to Purchase Common Stock	(1)	(1)	Common Stock	427,068 (2)	\$ <u>(1)</u>	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships				
1	Director	10% Owner	Officer	Other	
Midroc Invest AB P.O. BOX 3002 SOLNA, V7 SE-169 03	Â	Â	Â	Â	
Signatures					
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/s/G?ran Linder	0//0//2017
**Signature of	Date
Reporting Person	

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 Warrants may be exercised by the holder at any time on or after June 16, 2016 and expire as of June 16, 2023. The Warrants have an initial exercise price of \$4.98 per share of Common Stock, subject to certain adjustments.

The holder may not exercise the Warrants to the extent that after giving effect to such exercise, such holder would beneficially own in (2) excess of a Maximum Percentage of shares of Common Stock outstanding immediately after giving effect to such exercise. As of July 7,

2017, the Maximum Percentage was 4.99%.

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.