

STURM RUGER & CO INC  
Form 4  
October 13, 2016

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
Estimated average burden hours per response... 0.5

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 OF SECURITIES**

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 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Sullivan Thomas Patrick

(Last) (First) (Middle)

C/O STURM, RUGER & COMPANY, INC., ONE LACEY PLACE

(Street)

SOUTHPORT, CT 06890

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol

STURM RUGER & CO INC [RGR]

3. Date of Earliest Transaction (Month/Day/Year)

10/07/2016

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
VP of Newport Operations

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
\_\_\_\_ Form filed by More than One Reporting Person

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

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  |                                | (A) or (D)<br>Code V Amount (D) Price                             |   |  |                                   |
| Common Stock                    | 10/07/2016                           |  | S <sup>(1)</sup>               | 5,000 D \$  | 28,355  | D  |                                   |
|                                 |                                      |  |                                | 55.57   |   |  |                                   |

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.**

SEC 1474 (9-02)

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

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| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|
|  |  |                                      |  |                                |   | Date Exercisable   | Expiration Date   | Title                                      | Amount or Number of Shares                         |
|  |  |                                      |  |                                |   | Code   | V   | (A)  | (D)  |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |                          |       |
|---|---------------|-----------|--------------------------|-------|
|   | Director      | 10% Owner | Officer                  | Other |
| Sullivan Thomas Patrick<br>C/O STURM, RUGER & COMPANY, INC.<br>ONE LACEY PLACE<br>SOUTHPORT, CT 06890 |               |           | VP of Newport Operations |       |

## Signatures

/s/ Thomas A. Dineen, attorney-in-fact 10/13/2016

\*\*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).

(1) Sale made pursuant to a 10b5-1 plan dated September 7, 2016.

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. **10 CHECK IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES (SEE INSTRUCTIONS):** o **11 PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9):**

1.03%

**12 TYPE OF REPORTING PERSON (SEE INSTRUCTIONS):**

PN

7

CUSIP No. 640268108

NAMES OF REPORTING PERSONS:

1 I.R.S. IDENTIFICATION NOS. OF ABOVE PERSONS (ENTITIES ONLY):

HealthCor, L.P.  
20-3240266

CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP (SEE INSTRUCTIONS):

2 (a)  x  
(b)  o

SEC USE ONLY:

3

CITIZENSHIP OR PLACE OF ORGANIZATION:

4 Delaware

SOLE VOTING POWER:

5  
NUMBER OF 0

SHARES BENEFICIALLY OWNED BY EACH REPORTING PERSON

6 943,798

SHARED VOTING POWER:

943,798

SOLE DISPOSITIVE POWER:

7  
0

SHARED DISPOSITIVE POWER:

8  
943,798

AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON:

9  
943,798

CHECK IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES (SEE INSTRUCTIONS):

10

o

PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9):

11

1.03%

TYPE OF REPORTING PERSON (SEE INSTRUCTIONS):

12

PN

8

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CUSIP No. 640268108

NAMES OF REPORTING PERSONS:

1 I.R.S. IDENTIFICATION NOS. OF ABOVE PERSONS (ENTITIES ONLY):

Arthur Cohen

CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP (SEE INSTRUCTIONS):

2 (a)  x  
(b)  o

3 SEC USE ONLY:

4 CITIZENSHIP OR PLACE OF ORGANIZATION:

United States

SOLE VOTING POWER:

5  
NUMBER OF 0

SHARES BENEFICIALLY OWNED BY 6 SHARED VOTING POWER:

5,000,000

EACH REPORTING PERSON 7 SOLE DISPOSITIVE POWER:

0

WITH: 8 SHARED DISPOSITIVE POWER:

5,000,000

9 AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON:

5,000,000

Explanation of Responses:

CHECK IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES (SEE INSTRUCTIONS):

10

o

PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9):

11

5.45%

TYPE OF REPORTING PERSON (SEE INSTRUCTIONS):

12

IN

9

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CUSIP No. 640268108

NAMES OF REPORTING PERSONS:

1 I.R.S. IDENTIFICATION NOS. OF ABOVE PERSONS (ENTITIES ONLY):

Joseph Healey

CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP (SEE INSTRUCTIONS):

2 (a)  x  
(b)  o

3 SEC USE ONLY:

4 CITIZENSHIP OR PLACE OF ORGANIZATION:

United States

5 SOLE VOTING POWER:

NUMBER OF 0

6 SHARES BENEFICIALLY OWNED BY

SHARED VOTING POWER:

5,000,000

7 EACH REPORTING PERSON

SOLE DISPOSITIVE POWER:

0

8 WITH: SHARED DISPOSITIVE POWER:

5,000,000

9 AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON:

5,000,000

**10** CHECK IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES (SEE INSTRUCTIONS):

o

**11** PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9):

5.45%

**12** TYPE OF REPORTING PERSON (SEE INSTRUCTIONS):

IN

10

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**Item 1(a).** Name of Issuer: Nektar Therapeutics

**Item 1(b).** Address of Issuer's Principal Executive Offices:  
150 Industrial Road San Carlos, California 94070

**Item 2. (a, b,c).** Name of Persons Filing, Address of Principal Business Office, Citizenship:  
(i) HealthCor Management, L.P., a Delaware limited partnership, Carnegie Hall Tower, 152 West 57th Street, 47th Floor New York, New York 10019;  
(ii) HealthCor Associates, LLC, a Delaware limited liability company, Carnegie Hall Tower, 152 West 57th Street, 47th Floor New York, New York 10019;  
(iii) HealthCor Offshore, Ltd., a Cayman Islands limited company, Carnegie Hall Tower, 152 West 57th Street, 47th Floor New York, New York 10019;  
(iv) HealthCor Hybrid Offshore, Ltd., a Cayman Islands limited company, Carnegie Hall Tower, 152 West 57th Street, 47th Floor New York, New York 10019;  
(v) HealthCor Group, LLC, a Delaware limited liability company, Carnegie Hall Tower, 152 West 57th Street, 47th Floor New York, New York 10019;  
(vi) HealthCor Capital, L.P., a Delaware limited partnership, Carnegie Hall Tower, 152 West 57th Street, 47th Floor New York, New York 10019;  
(vii) HealthCor, L.P., a Delaware limited partnership, Carnegie Hall Tower, 152 West 57th Street, 47th Floor New York, New York 10019;  
(viii) Joseph Healey; Carnegie Hall Tower, 152 West 57th Street, 47th Floor New York, New York 10019; and  
(ix) Arthur Cohen, 12 South Main Street, #203 Norwalk, Connecticut 06854. Both Mr. Healey and Mr. Cohen are United States citizens.

**Item 2(d).** Title of Class of Securities: common stock, par value \$0.0001 per share (the "Common Stock")

**Item 2(e).** CUSIP Number: 640268108

**Item 3.** Not Applicable.

**Item 4.** Ownership.

Collectively, HealthCor, L.P., HealthCor Offshore, Ltd. and HealthCor Hybrid Offshore, Ltd. are the beneficial owners of a total of 5,000,000 shares of the Common Stock of the Issuer. The investment manager of each of these funds is HealthCor Management, L.P. and by virtue of such status may also be deemed to be the beneficial owner of the shares of Common Stock.

The general partner of HealthCor, L.P. is HealthCor Capital, L.P. and the general partner of HealthCor Capital, L.P. is HealthCor Group, LLC. Accordingly, each of HealthCor Capital L.P. and HealthCor Group, LLC may be deemed the beneficial owner of that portion of the Common Stock beneficially owned by HealthCor, L.P.

HealthCor Associates, LLC is the general partner of HealthCor Management, L.P. and, as such, may also be deemed to be the beneficial owner of the Common Stock. Arthur Cohen and Joseph Healey are the Managers of HealthCor Associates, LLC and have both voting and investment power with respect to the Common Stock reported herein, and therefore may also be deemed to be the beneficial owners of such Common Stock.

1. HealthCor Management, L.P.
  - (a) Amount beneficially owned: 5,000,000 shares
  - (b) Percent of class: 5.45%. The percentage of Common Stock reported as beneficially owned is based upon 91,681,687 shares outstanding as of April 30, 2007, as reported by the Issuer in its quarterly report on Form 10-Q filed with the Securities and Exchange Commission on May 10, 2007.
  - (c) Number of shares as to which such person has:
    - (i) Sole power to vote or direct the vote: 0
    - (ii) Shared power to vote or to direct the vote: 5,000,000 shares
    - (iii) Sole power to dispose or to direct the disposition of: 0
    - (iv) Shared power to dispose or to direct the disposition of: 5,000,000 shares.
  
2. HealthCor Associates, LLC
  - (a) Amount beneficially owned: 5,000,000 shares
  - (b) Percent of class: 5.45% (determined as set forth in paragraph 1(b) of this Item 4).
  - (c) Number of shares as to which such person has:
    - (i) Sole power to vote or direct the vote: 0
    - (ii) Shared power to vote or to direct the vote: 5,000,000 shares
    - (iii) Sole power to dispose or to direct the disposition of: 0
    - (iv) Shared power to dispose or to direct the disposition of: 5,000,000 shares.
  
3. HealthCor Offshore, Ltd.
  - (a) Amount beneficially owned: 3,233,282 shares
  - (b) Percent of class: 3.52% (determined as set forth in paragraph 1(b) of this Item 4).
  - (c) Number of shares as to which such person has:
    - (i) Sole power to vote or direct the vote: 0

- (ii) Shared power to vote or to direct the vote: 3,233,282 shares
- (iii) Sole power to dispose or to direct the disposition of: 0
- (iv) Shared power to dispose or to direct the disposition of: 3,233,282 shares.

4. HealthCor Hybrid Offshore, Ltd.

- (a) Amount beneficially owned: 822,920 shares
- (b) Percent of class: 0.90% (determined as set forth in paragraph 1(b) of this Item 4).
- (c) Number of shares as to which such person has:
  - (i) Sole power to vote or direct the vote: 0
  - (ii) Shared power to vote or to direct the vote: 822,920 shares
  - (iii) Sole power to dispose or to direct the disposition of: 0
  - (iv) Shared power to dispose or to direct the disposition of: 822,920 shares.

5. HealthCor Group, LLC

- (a) Amount beneficially owned: 943,798 shares
- (b) Percent of class: 1.03% (determined as set forth in paragraph 1(b) of this Item 4).
- (c) Number of shares as to which such person has:
  - (i) Sole power to vote or direct the vote: 0
  - (ii) Shared power to vote or to direct the vote: 943,798 shares
  - (iii) Sole power to dispose or to direct the disposition of: 0
  - (iv) Shared power to dispose or to direct the disposition of: 943,798 shares.

6. HealthCor Capital, L.P.

- (a) Amount beneficially owned: 943,798 shares
- (b) Percent of class: 1.03% (determined as set forth in paragraph 1(b) of this Item 4).
- (c) Number of shares as to which such person has:
  - (i) Sole power to vote or direct the vote: 0
  - (ii) Shared power to vote or to direct the vote: 943,798 shares
  - (iii) Sole power to dispose or to direct the disposition of: 0
  - (iv) Shared power to dispose or to direct the disposition of: 943,798 shares.

7. HealthCor, L.P.

- (a) Amount beneficially owned: 943,798 shares
- (b) Percent of class: 1.03% (determined as set forth in paragraph 1(b) of this Item 4).
- (c) Number of shares as to which such person has:
  - (i) Sole power to vote or direct the vote: 0
  - (ii) Shared power to vote or to direct the vote: 943,798 shares
  - (iii) Sole power to dispose or to direct the disposition of: 0

(iv) Shared power to dispose or to direct the disposition of: 943,798 shares.

8. Joseph Healey

- (a) Amount beneficially owned: 5,000,000 shares
- (b) Percent of class: 5.45% (determined as set forth in paragraph 1(b) of this Item 4)
- (c) Number of shares as to which such person has:
  - (i) Sole power to vote or direct the vote: 0
  - (ii) Shared power to vote or to direct the vote: 5,000,000 shares
  - (iii) Sole power to dispose or to direct the disposition of: 0
  - (iv) Shared power to dispose or to direct the disposition of: 5,000,000 shares.

9. Arthur Cohen

- (a) Amount beneficially owned: 5,000,000 shares
- (b) Percent of class: 5.45% (determined as set forth in paragraph 1(b) of this Item 4)
- (c) Number of shares as to which such person has:
  - (i) Sole power to vote or direct the vote: 0
  - (ii) Shared power to vote or to direct the vote: 5,000,000 shares
  - (iii) Sole power to dispose or to direct the disposition of: 0
  - (iv) Shared power to dispose or to direct the disposition of: 5,000,000 shares.

**Item 5.** Ownership of Five Percent or Less of a Class.

If this statement is being filed to report the fact that as of the date hereof the reporting person has ceased to be the beneficial owner of more than five percent of the class of securities, check the following [ ].

**Item 6.** Ownership of More than Five Percent on Behalf of Another Person.

Not applicable.

**Item 7.** Identification and Classification of the Subsidiary Which Acquired the Security Being Reported on by the Parent Holding Company.

Not applicable.

**Item 8.** Identification and Classification of Members of the Group.

Not applicable.

**Item 9.** Notice of Dissolution of Group.

Not applicable.

**Item 10.**

Certification.

By signing below I certify that, to the best of my knowledge and belief, the securities referred to above were not acquired and are not held for the purpose of or with the effect of changing or influencing the control of the issuer of the securities and were not acquired and are not held in connection with or as a participant in any transaction having that purpose or effect.

**[Signature Page Follows]**

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**SIGNATURE**

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

Date: August 3, 2007

**HealthCor Management L.P., for itself and as manager on behalf of (i) HealthCor Offshore, Ltd. and (ii) HealthCor Hybrid Offshore, Ltd.**

By: HealthCor Associates, LLC, its general partner

By: /s/ Steven J. Musumeci  
Name: Steven J. Musumeci  
Title: Chief Operating Officer

**HealthCor Capital L.P., for itself and as manager on behalf of HealthCor L.P.**

By: HealthCor Group, LLC, its general partner

By: /s/ Steven J. Musumeci  
Name: Steven J. Musumeci  
Title: Chief Operating Officer

**HealthCor Associates, LLC**

By: /s/ Steven J. Musumeci  
Name: Steven J. Musumeci  
Title: Chief Operating Officer

**HealthCor Group, LLC**

By: /s/ Steven J. Musumeci  
Name: Steven J. Musumeci  
Title: Chief Operating Officer

/s/ Joseph Healey  
**Joseph Healey**, Individually

/s/ Arthur Cohen  
**Arthur Cohen**, Individually

**Exhibit 1**

JOINT ACQUISITION STATEMENT PURSUANT TO RULE 13d-1(k)

The undersigned acknowledge and agree that the foregoing statement on Schedule 13G is filed on behalf of each of the undersigned and that all subsequent amendments to this statement on Schedule 13G shall be filed on behalf of each of the undersigned without the necessity of filing additional joint acquisition statements. The undersigned acknowledge that each shall be responsible for the timely filing of such amendments, and for the completeness and accuracy of the information concerning him or it contained therein, but shall not be responsible for the completeness and accuracy of the information concerning the others, except to the extent that he or it knows or has reason to believe that such information is inaccurate.

Date: August 3, 2007

**HealthCor Management L.P., for itself and as manager on behalf of (i) HealthCor Offshore, Ltd. and (ii) HealthCor Hybrid Offshore, Ltd.**

By: HealthCor Associates, LLC, its general partner

By: /s/ Steven J. Musumeci  
Name: Steven J. Musumeci  
Title: Chief Operating Officer

**HealthCor Capital L.P., for itself and as manager on behalf of HealthCor L.P.**

By: HealthCor Group, LLC, its general partner

By: /s/ Steven J. Musumeci  
Name: Steven J. Musumeci  
Title: Chief Operating Officer

**HealthCor Associates, LLC**

By: /s/ Steven J. Musumeci  
Name: Steven J. Musumeci  
Title: Chief Operating Officer

**HealthCor Group, LLC**

By: /s/ Steven J. Musumeci  
Name: Steven J. Musumeci  
Title: Chief Operating Officer

/s/ Joseph Healey  
**Joseph Healey**, Individually

/s/ Arthur Cohen  
**Arthur Cohen**, Individually