Alphatec Holdings, Inc.
Form 3
February 06, 2014

# FORM 3

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

OMB APPROVAL

| | |
|---|---|
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## INITIAL STATEMENT OF 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 *
Â Plunkett Michael Joseph

(Last) (First) (Middle)

C/O ALPHATEC SPINE, INC.,Â 5818 EL CAMINO REAL

(Street)

CARLSBAD,Â CAÂ 92008

(City) (State) (Zip)

2. Date of Event Requiring Statement (Month/Day/Year)
12/27/2013

3. Issuer Name **and** Ticker or Trading Symbol
Alphatec Holdings, Inc. [ATEC]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

_____ Director
_____ 10% Owner
__X__ Officer (give title below)
_____ Other (specify below)
Chief Operating Officer

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

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

### Table I - Non-Derivative Securities Beneficially Owned

| 1.Title of Security (Instr. 4) | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) | 4. Nature of Indirect Beneficial Ownership (Instr. 5) |
|---|---|---|---|
| Common Stock (1) | 57,718 (1) | D | Â |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

SEC 1473 (7-02)

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

| 1. Title of Derivative Security (Instr. 4) | 2. Date Exercisable and Expiration Date (Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4) | 4. Conversion or Exercise Price of Derivative | 5. Ownership Form of Derivative Security: | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|---|---|---|---|---|---|

| | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | Security | Direct (D) or Indirect (I) (Instr. 5) | |
|---|---|---|---|---|---|---|---|
| Incentive Stock Option | 03/19/2013 | 03/19/2022 | Common Stock | 75,000 (2) | $ 2.17 | D | Â |
| Incentive Stock Option | 01/04/2014 | 01/04/2023 | Common Stock | 65,000 (2) | $ 1.72 | D | Â |
| Incentive Stock Option | 08/08/2014 | 08/08/2023 | Common Stock | 30,000 (2) | $ 2.04 | D | Â |

# Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---|---|---|---|
| | Director | 10% Owner | Officer | Other |
| Plunkett Michael Joseph<br>C/O ALPHATEC SPINE, INC.<br>5818 EL CAMINO REAL<br>CARLSBAD,Â CAÂ 92008 | Â | Â | Â Chief Operating Officer | Â |

# Signatures

| | |
|---|---|
| /s/ Ebun S. Garner, Esq., Attorney-in-fact | 02/06/2014 |
| **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)** Of such common stock, 35,300 are subject to restricted stock agreements, which require the holder to remain an employee of the issuer in order for the common stock to vest over time.

**(2)** The options vest over four years with 25% vesting on the anniversary of the date of grant, and the remainder vesting in 12 tranches each three months thereafter.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure.
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