Edgar Filing: TANDEM DIABETES CARE INC - Form 3

TANDEM DIABETES CARE INC

Form 3

November 13, 2013

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

OMB APPROVAL

OMB Number:

3235-0104

Expires:

response...

January 31, 2005

0.5

Estimated average burden hours per

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

C/O TANDEM DIABETES

Person *

 SMITH LONNIE M

CARE, INC.,, 11045 ROSELLE STREET

(Last)

(First)

(Street)

(Middle)

Statement

(Month/Day/Year)

11/13/2013

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

TANDEM DIABETES CARE INC [TNDM]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

(Check all applicable)

10% Owner _X_ Director Officer Other (give title below) (specify below)

6. Individual or Joint/Group Filing(Check Applicable Line)

X Form filed by One Reporting Person

Form filed by More than One

Reporting Person

SAN DIEGO. CAÂ 92121

(City) (State)

1. Title of Security (Instr. 4)

(Zip)

2. Amount of Securities Beneficially Owned (Instr. 4)

3. Ownership Form:

Table I - Non-Derivative Securities Beneficially Owned

4. Nature of Indirect Beneficial

Ownership (Instr. 5)

Direct (D) or Indirect (I) (Instr. 5)

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

SEC 1473 (7-02)

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)

1. Title of Derivative Security (Instr. 4)

2. Date Exercisable and **Expiration Date** (Month/Day/Year)

Date

3. Title and Amount of Securities Underlying Derivative Security

4. Conversion or Exercise Price of

5. Ownership Form of Derivative

6. Nature of Indirect Beneficial Ownership

(Instr. 5)

(Instr. 4)

Expiration Title Exercisable Date

Amount or Number of Derivative Security: Security Direct (D)

1

Edgar Filing: TANDEM DIABETES CARE INC - Form 3

				Shares		or Indirect (I) (Instr. 5)	
Series D Preferred Stock	(1)	(2)	Common Stock	149,200	\$ 0	I	See footnote (3)
Stock Option (4)	(5)	(6)	Common Stock	26,856	\$ 1.11	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships				
	Director	10% Owner	Officer	Other	
SMITH LONNIE M					
C/O TANDEM DIABETES CARE, INC.,	ÂX	Â	Â	Â	
11045 ROSELLE STREET					
SAN DIEGO, CA 92121					

Signatures

/s/ David B. Berger, Attorney-in-Fact for Lonnie M.
Smith

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 immediately convertible.
- (2) The expiration date is not relevant to the conversion of these securities.
- (3) The shares are held by the Lonnie M. Smith TDC GRAT dated 3/5/13.
- (4) Granted pursuant to the Issuer's Tandem Diabetes Care, Inc. 2006 Stock Incentive Plan.
- (5) The date of grant of the option was 4/23/2013. All shares subject to the option will vest as to 25% on 1/24/2014 and in 36 equal monthly installments thereafter.
- (6) The expiration date of 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.

Reporting Owners 2