Edgar Filing: TANDEM DIABETES CARE INC - Form 4

TANDEM DIABETES CARE INC

Form 4

November 21, 2013

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

OMB APPROVAL

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Check this box if no longer subject to Section 16.

Form 4 or

Form 5 obligations may continue. See Instruction

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

(Print or Type Responses)

1(b).

(Last)

(City)

Common

Stock

1. Name and Address of Reporting Person * BLICKENSTAFF KIM D

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

TANDEM DIABETES CARE INC

[TNDM]

(Check all applicable)

PRESIDENT AND CEO

3. Date of Earliest Transaction

(Month/Day/Year) 11/19/2013

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

C/O TANDEM DIABETES CARE. INC.,, 11045 ROSELLE STREET

(Street)

(State)

11/19/2013

(First)

(Middle)

(Zip)

4. If Amendment, Date Original

 \mathbf{C}

6. Individual or Joint/Group Filing(Check

Filed(Month/Day/Year)

Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting

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

SAN DIEGO, CA 92121

1. Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3) (Month/Day/Year)

3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)

5. Amount of Securities Beneficially Owned Following

6. Ownership 7. Nature of Form: Direct Indirect (D) or Beneficial Ownership Indirect (I) (Instr. 4) (Instr. 4)

Reported

(A)

or

\$0

Transaction(s) (Instr. 3 and 4) Price

407,939

(D) Code V Amount

311,402 A

I

footnote (1)

See

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

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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)	orDeri Secu Acqı Disp	umber of vative urities uired (A) or losed of (D) r. 3, 4, and	6. Date Exercisable and Expiration Date Underlying Securities (Month/Day/Year) 7. Title and Amount Underlying Securities (Instr. 3 and 4)		Securities	
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Series A Preferred Stock	<u>(2)</u>	11/19/2013		C		30,681 (3)	(2)	(2)	Common Stock	18,310 (2)
Series B Preferred Stock	<u>(2)</u>	11/19/2013		C		127,241 (3)	(2)	(2)	Common Stock	75,938 (2)
Series D Preferred Stock	<u>(2)</u>	11/19/2013		C		363,864	<u>(2)</u>	(2)	Common Stock	217,154 (2)

Reporting Owners

Reporting Owner Name / Address		Relationships		
	Director	10% Owner	Officer	Other
BLICKENSTAFF KIM D				
C/O TANDEM DIABETES CARE, INC.,	X		PRESIDENT AND CEO	
11045 ROSELLE STREET	Λ		PRESIDENT AND CEO	
SAN DIEGO, CA 92121				

Signatures

/s/ David B. Berger, Attorney-in-Fact for Kim D.
Blickenstaff
11/21/2013

**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) The securities are held by the Kim Blickenstaff Revocable Trust dated April 15, 2010.
- (2) Each share of Preferred Stock automatically converted on a 1-to-0.5968 basis into Common Stock immediately upon the consummation of the Issuer's initial public offering and had no expiration date.
- (3) The number of shares of Preferred Stock reflects the effect of applicable anti-dilution adjustments that occurred as a result of the issuance of the Series D Preferred Stock.

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.

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