CareDx, Inc. Form 3 November 12, 2014

#### UNITED STATES SECURITIES AND EXCHANGE COMMISSION FORM 3 Washington, D.C. 20549

**OMB APPROVAL** 

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

**SECURITIES** 

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 * A GAGNON NEIL			2. Date of Event Requiring Statement (Month/Day/Year)		3. Issuer Name and Ticker or Trading Symbol CareDx, Inc. [CDNA]			
(Last)	(First)	(Middle)	11/05/2014		4. Relationshi Person(s) to Is	ip of Reporting		5. If Amendment, Date Original Filed(Month/Day/Year)
1370 AVENUE OF THE AMERICAS, 24TH FLOOR					(Check all applicable)			
	(Street)				Director Officer (give title below	Oth	er	6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting
NEW YORK, NY 10019								Person Form filed by More than One Reporting Person
(City)	(State) 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 Sto	ck, \$0.001	par value	per share	213,126 (1)	<u>)</u>	D	Â	
Common Sto	ck, \$0.001	par value	per share	328,801		I	Partr	Managing Member as General ner of Gagnon Investment ociates
Common Sto	ck, \$0.001	par value	per share	42,308		I	-	imited Paratner of the ily Partnership
Common Sto	ck, \$0.001	par value	per share	34,764		I	-	Managing Member as General ner of Darwin Partnership
Common Sto	ck, \$0.001	par value	per share	6,941		I	-	Neil Gagnon as Trustee of mon 1999 Grandchildren's t
Common Sto	ck, \$0.001	par value	per share	6,788		Ι	-	Neil Gagnon as Trustee of non Securities LLC Profit

#### Edgar Filing: CareDx, Inc. - Form 3

Sharing Plan

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)

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

Date Expiration Exercisable Date Amount or Title Number of Derivative Security Direct (D) or Indirect

Shares (I)
(Instr. 5)

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

GAGNON NEIL 1370 AVENUE OF THE AMERICAS 24TH FLOOR NEW YORK, NYÂ 10019

ÂXÂÂÂ

### **Signatures**

/s/ Neil Gagnon 11/12/2014

\*\*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).

Neil Gagnon serves as the principal of Gagnon Advisers LLC and Gagnon Securities LLC each of which provide investment management services to investment vehicles and managed accounts (collectively, the "Accounts"), and as such, has investment discretion with respect

(1) to the Accounts. For the purposes of Rule 13d-3, Mr. Gagnon is deemed to beneficially own 1,180,664 shares of common stock of CareDx, Inc. Mr. Gagnon's interest in the securities reported herein is limited to the extent of his pecuniary interest in each of the Accounts, if any.

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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