### 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** 

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

**SECURITIES** 

(Print or Type Responses)

1. Name and Address of Reporting

C/O TANDEM DIABETES

CARE, INC.,, 11045 ROSELLE STREET

Person \*

**Â** Morrison Susan

(Last)

(First)

(Street)

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

Filed(Month/Day/Year)

10% Owner Director \_X\_\_ Officer

(Check all applicable)

Other (give title below) (specify below) **CAO** 

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

\_X\_ Form filed by One Reporting

5. If Amendment, Date Original

Person

Form filed by More than One

Reporting Person

SAN DIEGO. CAÂ 92121

(City) (State)

1. Title of Security (Instr. 4)

(Zip)

(Middle)

2. Amount of Securities Beneficially Owned

(Instr. 4)

3.

Ownership

Table I - Non-Derivative Securities Beneficially Owned

4. Nature of Indirect Beneficial Ownership

(Instr. 5) Form: 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)

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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)

Exercisable

3. Title and Amount of Securities Underlying **Derivative Security** 

4 or Exercise Price of

5. Conversion

Ownership Form of Derivative

6. Nature of Indirect Beneficial Ownership (Instr. 5)

(Instr. 4)

Title

Expiration

Date

Amount or Number of

Derivative Security

Security: Direct (D)

1

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				Shares		or Indirect (I) (Instr. 5)	
Series B Preferred Stock	(1)	(2)	Common Stock	1,333	\$ 0	D	Â
Series C Preferred Stock	(1)	(2)	Common Stock	738	\$ 0	D	Â
Series D Preferred Stock	(1)	(2)	Common Stock	2,806	\$ 0	D	Â
Preferred Stock Warrant	(3)	08/31/2021	Series D Preferred Stock (4)	612 (4)	\$ 4.4 (4)	D	Â
Preferred Stock Warrant	(3)	05/25/2022	Series D Preferred Stock (5)	318 (5)	\$ 4.4 (5)	D	Â
Preferred Stock Warrant	(3)	08/21/2022	Series D Preferred Stock (6)	439 (6)	\$ 4.4 (6)	D	Â
Incentive Stock Option (7)	(8)	(9)	Common Stock	447	\$ 11.73	D	Â
Incentive Stock Option (7)	(10)	(9)	Common Stock	746	\$ 11.73	D	Â
Incentive Stock Option (7)	(11)	(9)	Common Stock	2,685	\$ 10.72	D	Â
Incentive Stock Option (7)	(12)	(9)	Common Stock	149	\$ 10.72	D	Â
Incentive Stock Option (7)	(13)	(9)	Common Stock	358	\$ 25.13	D	Â
Incentive Stock Option (7)	(14)	(9)	Common Stock	95,488	\$ 1.11	D	Â

# **Reporting Owners**

Relationships				
Officer	Other			
CAO	Â			
	CAO			

## **Signatures**

/s/ David B. Berger, Attorney-in-Fact for Susan M.
Morrison 11/13/2013

Reporting Owners 2

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\*\*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 warrants are immediately exercisable.
- (4) Upon the consummation of the Issuer's initial public offering, these warrants will automatically become exercisable for 365 shares of the Issuer's common stock at an exercise price of \$7.37 per share.
- (5) Upon the consummation of the Issuer's initial public offering, these warrants will automatically become exercisable for 189 shares of the Issuer's common stock at an exercise price of \$7.37 per share.
- (6) Upon the consummation of the Issuer's initial public offering, these warrants will automatically become exercisable for 261 shares of the Issuer's common stock at an exercise price of \$7.37 per share.
- (7) Granted pursuant to the Issuer's Tandem Diabetes Care, Inc. 2006 Stock Incentive Plan.
- (8) The date of grant of the option was 12/13/2007. All shares subject to the option vested as to 25% on 12/13/2008 and in 36 equal monthly installments thereafter.
- (9) The expiration date for these options is 10 years from the date of grant.
- (10) The date of grant of the option was 9/10/2008. All shares subject to the option vested as to 25% on 9/10/2009 and in 36 equal monthly installments thereafter.
- (11) The date of grant of the option was 8/20/2009. All shares subject to the option vested as to 25% on 8/20/2010 and in 36 equal monthly installments thereafter.
- (12) The date of grant of the option was 1/22/2010. All shares subject to the option vested as to 25% on 1/22/2011 and continue to vest in 36 equal monthly installments thereafter.
- (13) The date of grant of the option was 3/1/2012. All shares subject to the option vested as to 25% on 3/1/2013 and continue to vest in 36 equal monthly installments thereafter.
- (14) The date of grant of the option was 4/23/2013. All shares subject to the option will vest in 24 equal monthly installments commencing on 4/23/2013.

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.

Signatures 3