

TANDEM DIABETES CARE INC

Form 3

November 13, 2013

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 GREENE HOWARD E JR

(Last) (First) (Middle)

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

(Street)

SAN DIEGO,Â CAÂ 92121

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

11/13/2013

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)

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

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ 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

1,193

I

See footnote (1)

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)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Series A Preferred Stock	Â (2)	Â (3)	Common Stock	7,323	\$ 0	I	See footnote (1)
Series B Preferred Stock	Â (2)	Â (3)	Common Stock	15,251	\$ 0	I	See footnote (1)
Series C Preferred Stock	Â (2)	Â (3)	Common Stock	9,842	\$ 0	I	See footnote (1)
Series D Preferred Stock	Â (2)	Â (3)	Common Stock	104,256	\$ 0	I	See footnote (1)
Preferred Stock Warrant	Â (4)	08/31/2021	Series D Preferred Stock (5)	10,066 (5)	\$ 4.4 (5)	I	See footnote (1)
Preferred Stock Warrant	Â (4)	05/25/2022	Series D Preferred Stock (6)	4,772 (6)	\$ 4.4 (6)	I	See footnote (1)
Preferred Stock Warrant	Â (4)	08/21/2022	Series D Preferred Stock (7)	28,620 (7)	\$ 4.4 (7)	I	See footnote (1)
Stock Option (8)	Â (9)	Â (10)	Common Stock	16,710	\$ 1.11	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
GREENE HOWARD E JR C/O TANDEM DIABETES CARE, INC., 11045 ROSELLE STREET SAN DIEGO, CA 92121	Â X	Â	Â	Â

Signatures

/s/ David B. Berger, Attorney-in-Fact for Howard E.
Greene, Jr.

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 held by the Greene Family Trust.
- (2) The securities are immediately convertible.
- (3) The expiration date is not relevant to the conversion of these securities.

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- (4) The warrants are immediately exercisable.
- (5) Upon the consummation of the Issuer's initial public offering, these warrants will automatically become exercisable for 6,007 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 2,847 shares of the Issuer's common stock at an exercise price of \$7.37 per share.
- (7) Upon the consummation of the Issuer's initial public offering, these warrants will automatically become exercisable for 17,079 shares of the Issuer's common stock at an exercise price of \$7.37 per share.
- (8) Granted pursuant to the Issuer's Tandem Diabetes Care, Inc. 2006 Stock Incentive Plan.
- (9) 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.
- (10) The expiration date 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.

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