

FLUIDIGM CORP
Form 4
November 19, 2013

FORM 4

**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 1(b).

STATEMENT OF CHANGES IN 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 *
Yow Mai Chan

(Last) (First) (Middle)

FLUIDIGM CORPORATION, 7000
SHORELINE COURT, SUITE 100

(Street)

SOUTH SAN
FRANCISCO, CA 94080

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
FLUIDIGM CORP [FLDM]

3. Date of Earliest Transaction
(Month/Day/Year)

11/15/2013

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

See Remarks

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

X Form filed by One Reporting Person
___ Form filed by More than One Reporting Person

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

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | | | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Ownership (Instr. 4) | | |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|----------------|---|--|-----------------------------------|------------|-------|
| | | | | Code | V | Amount | | | | (A) or (D) | Price |
| Common Stock | 11/15/2013 | | M | | | 37 | A | \$ 4.0828 | 37 | D | |
| Common Stock | 11/15/2013 | | M | | | 11,560 | A | \$ 4.4461 | 11,597 | D | |
| Common Stock | 11/15/2013 | | M | | | 536 | A | \$ 4.4461 | 12,133 | D | |
| Common Stock | 11/15/2013 | | M | | | 2,867 | A | \$ 8.3732 | 15,000 | D | |
| Common Stock | 11/15/2013 | | S ⁽¹⁾ | | | 15,000 | D | \$ 0 | | D | |
| | | | | | | ⁽²⁾ | | 30.5117 | | | |

(2)

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

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(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)

| 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) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--------|---------------------------|--|---|----------------------------|
| | | | | | V | (A) | (D) | | | |
| Employee Stock Option (Right to Buy) | \$ 4.0828 | 11/15/2013 | | M | | 37 | ⁽³⁾ 11/17/2019 | Common Stock | 37 | |
| Employee Stock Option (Right to Buy) | \$ 4.4461 | 11/15/2013 | | M | | 11,560 | ⁽⁴⁾ 04/23/2018 | Common Stock | 11,560 | |
| Employee Stock Option (Right to Buy) | \$ 4.4461 | 11/15/2013 | | M | | 536 | ⁽⁵⁾ 04/23/2018 | Common Stock | 536 | |
| Employee Stock Option (Right to Buy) | \$ 8.3732 | 11/15/2013 | | M | | 2,867 | ⁽⁶⁾ 01/04/2021 | Common Stock | 2,867 | |

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Yow Mai Chan
FLUIDIGM CORPORATION
7000 SHORELINE COURT, SUITE 100
SOUTH SAN FRANCISCO, CA 94080

See Remarks

Signatures

/s/ Valerie Barnett,
attorney-in-fact

11/19/2013

__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 sales reported by Ms. Yow were effected pursuant to a Rule 10b5-1 trading plan adopted on September 12, 2013.
The "Amount" and "Price" reported in this Column 4 reflect the aggregate number and weighted-average price, respectively, of shares sold. These shares were sold in multiple transactions at prices ranging from \$30.032 to \$30.81, inclusive. The reporting person undertakes
 - (2) to provide to the issuer, any security holder of the issuer, or the SEC staff, upon request, full information regarding the number of shares sold at each separate price within the range set forth herein.
 - (3) The shares subject to the Option fully vested on April 1, 2013.
 - (4) The shares subject to the Option fully vested on March 31, 2012.
 - (5) The shares subject to the Option fully vested on March 22, 2010.
 - (6) 70% of the shares subject to the Option vested on March 10, 2011, 25% of the remaining 30% of the shares subject to the Option vested on April 1, 2011 and 1/48th of the remaining unvested shares subject to the Option shall vest each month thereafter.

Remarks:

EXECUTIVE VP, WORLDWIDE MANUFACTURING & MANAGING DIRECTOR - SINGAPORE

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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