#### Edgar Filing: TANDEM DIABETES CARE INC - Form 4

#### TANDEM DIABETES CARE INC

Form 4

November 19, 2013

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

**OMB APPROVAL** 

OMB 3235-0287 Number:

January 31, Expires: 2005

Estimated average burden hours per

response... 0.5

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

Form 5 obligations may continue. See Instruction

Check this box

if no longer

subject to

Section 16.

Form 4 or

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* DOMAIN PARTERS VII L P

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to Issuer

below)

Symbol TANDEM DIABETES CARE INC

(Check all applicable)

[TNDM]

11/19/2013

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

Director Officer (give title

X\_\_ 10% Owner Other (specify

C/O DOMAIN ASSOCIATES. LLC, ONE PALMER SQUARE

> (Street) 4. If Amendment, Date Original

> > (Month/Day/Year)

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

Filed(Month/Day/Year)

C

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

PRINCETON, NJ 08542

(Instr. 3)

Common

Stock

(City) (State) (Zip) 1. Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if

11/19/2013

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

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

6. Ownership Form: Direct (D) or Indirect

7. Nature of Indirect Beneficial Ownership (Instr. 4)

(A) or

(1)

Transaction(s) (Instr. 3 and 4)

(Instr. 4)

Price Amount (D)

A

Code V 3.189,058

3,189,058

D

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	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transact Code (Instr. 8)	ionSecurities A or Disposed	l of (D)			7. Title and Amou Underlying Securi (Instr. 3 and 4)	
	Security						Date Exercisable	Expiration Date	Title	Amo Nun Shar
Series B Preferred Stock	(1)	11/19/2013		Code V	7 (A)	(D) 356,111	<u>(1)</u>	<u>(1)</u>	Common Stock	35
Series C Preferred Stock	<u>(1)</u>	11/19/2013		C		549,833	<u>(1)</u>	<u>(1)</u>	Common Stock	54
Series D Preferred Stock	<u>(1)</u>	11/19/2013		C		2,283,114	<u>(1)</u>	<u>(1)</u>	Common Stock	2,2
Warrant to Purchase Series D Preferred Stock	\$ 4.4	11/19/2013		<u>J(2)</u>		590,403	(3)	(3)	Series D Preferred Stock	59
Warrant to Purchase Common Stock	\$ 7.37	11/19/2013		J <u>(2)</u>	352,351		<u>(4)</u>	<u>(4)</u>	Common Stock	35

# **Reporting Owners**

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
DOMAIN PARTERS VII L P C/O DOMAIN ASSOCIATES, LLC ONE PALMER SQUARE PRINCETON, NJ 08542		X					

# **Signatures**

/s/Kathleen K. Schoemaker, Managing Member of One Palmer Square Associates VII, LLC, General Partner of Domain Partners VII, L.P.

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).

Reporting Owners 2

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- All outstanding shares of the Issuer's preferred stock automatically converted into Common Stock upon the closing of the Issuer's initial public offering (the "IPO"), for no additional consideration. The preferred stock had no expiration date. The Common Stock equivalents of the preferred stock reflect the 1 for 1.6756 reverse split of the Common Stock effected in November 2013.
- Upon the closing of the IPO the Warrants to purchase Series D Preferred Stock automatically converted into Warrants to purchase the number of shares of Common Stock that the Series D Preferred Stock underlying the Warrants were convertible into, subject to the reverse split described in footnote (1), and the exercise price accordingly adjusted to \$7.37 per share.
- (3) The Warrant to purchase Series D Preferred Stock was immediately exercisable and expired as follows: 362,965 shares on 8/17/21; 90,741 shares on 5/25/22; and 136,697 shares on 7/17/22.
- (4) The Warrant to purchase Common Stock is immediately exercisable and expires as follows: 216,617 shares on 8/17/21; 54,154 shares on 5/25/22; and 81,580 shares on 7/17/22.

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.