True Drinks Holdings, Inc.

Form 4

October 16, 2014

Check this box

if no longer

subject to

Section 16.

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

2. Issuer Name and Ticker or Trading

Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

(Last)

(Print or Type Responses)

18552 MACARTHUR

BLVD, SUITE 325

**IRVINE, CA 92612** 

(City)

(Instr. 3)

1. Name and Address of Reporting Person \* Kerker Daniel R.

(First)

(Street)

(State)

Symbol True Drinks Holdings, Inc. [TRUU]

(Middle)

(Zip)

3. Date of Earliest Transaction

(Month/Day/Year) 10/15/2014

3.

4. If Amendment, Date Original

Filed(Month/Day/Year)

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

4. Securities

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

(Month/Day/Year)

TransactionAcquired (A) or Code Disposed of (D) (Instr. 8)

(Instr. 3, 4 and 5)

Following Reported (A) Transaction(s) (Instr. 3 and 4) Code V Amount (D) Price

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

any

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

1. Title of 3. Transaction Date 3A. Deemed 4. 5. Number of 6. Date Exercisable and 7. Title and Amou Derivative Conversion (Month/Day/Year) Execution Date, if TransactiorDerivative Securities **Expiration Date** Underlying Secur Security or Exercise Code Acquired (A) or (Month/Day/Year) (Instr. 3 and 4)

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

**OMB** 

Number:

Expires:

response...

5. Relationship of Reporting Person(s) to

(Check all applicable)

CHIEF FINANCIAL OFFICER

6. Ownership

Form: Direct

(D) or Indirect Beneficial

6. Individual or Joint/Group Filing(Check

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

(I)

(Instr. 4)

10% Owner

Other (specify

7. Nature of

Ownership

(Instr. 4)

Indirect

Issuer

below)

Person

5. Amount of

Securities

Owned

Beneficially

Director

Applicable Line)

Officer (give title

Estimated average

burden hours per

### Edgar Filing: True Drinks Holdings, Inc. - Form 4

(Instr. 3)	Price of Derivative Security		(Month/Day/Year)	(Instr.	nstr. 8) Disposed of (D) (Instr. 3, 4, and 5)						
				Code		Expiration Date	Title	Am Nur Sha			
Stock Option	\$ 0.61	10/15/2014		D			430,043	<u>(1)</u>	03/01/2015	Common Stock	43
Stock Option	\$ 0.38	10/15/2014		A		430,043		(3)	10/15/2021	Common Stock	43

# **Reporting Owners**

Reporting Owner Name / Address	Relationships						
Toporomg O mar I mare / I mar 1000	Director	10% Owner	Officer	Other			
Kerker Daniel R. 18552 MACARTHUR BLVD SUITE 325 IRVINE, CA 92612			CHIEF FINANCIAL OFFICER				

# **Signatures**

/s/ Dan Kerker 10/16/2014

\*\*Signature of 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) Of the shares issuable pursuant to this stock option, 61,435 shares vested on the grant date, 122,870 shares vested on each of March 1, 2013 and 2014, respectively, and the final 122,868 shares are scheduled to vest on March 1, 2015.
- The Reporting Person agreed to cancellation of the stock option granted to him on March 1, 2012, in exchange for a new option issued on (2) October 15, 2014 pursuant to the Issuer's 2013 Stock Incentive Plan, which option is exercisable for the same number of shares and subject to the same vesting schedule, but with a longer term and lower exercise price.
- (3) Of the shares issuable pursuant to this stock option, 307,175 are currently vested. The remaining 122,868 shares are scheduled to vest on March 1, 2015.

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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