Edgar Filing: TANDEM DIABETES CARE INC - Form 4

TANDEM DIABETES CARE INC

Form 4

November 21, 2013

FORM 4	UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20540
	Washington, D.C. 20549

OMB APPROVAL

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response...

if no longer subject to Section 16. Form 4 or

Check this box

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

may continue. See Instruction

1(b).

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obligations

(Print or Type Responses)

(Last)

1. Name and Address of Reporting Person * ROEDER DOUGLAS A

2. Issuer Name and Ticker or Trading

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

30(h) of the Investment Company Act of 1940

Symbol

TANDEM DIABETES CARE INC

Issuer

5. Relationship of Reporting Person(s) to

[TNDM]

(Check all applicable)

3. Date of Earliest Transaction

(Month/Day/Year) 11/19/2013

_X__ Director Officer (give title

_X__ 10% Owner __ Other (specify

C/O DELPHI VENTURES,, 3000 SAND HILL RD., BLDG. 1, STE. 135

(First)

(Middle)

(Street)

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

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

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

Person

MENLO PARK, CA 94025

(City)	(State)	(Zip) 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. Transactic Code (Instr. 8)	4. Securities A own Disposed o (Instr. 3, 4 and Amount	f (D)	ed (A)	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 Indirect Beneficial Ownership (Instr. 4)
Common Stock	11/19/2013		С	3,632,552	A	\$ 0	3,632,552	I	Directly owned by Delphi Ventures VIII, L.P. (1)
Common Stock	11/19/2013		C	35,467	A	\$ 0	35,467	I	Directly owned by Delphi BioInvestments VIII, L.P. (1)

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)

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. Transactio Code (Instr. 8)	5. Number of orDerivative 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)	
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Series C Preferred Stock	(2)	11/19/2013		C		1,113,545 (3)	(2)	(2)	Common Stock	664,565 (2)
Series C Preferred Stock	(2)	11/19/2013		С		10,871 (3)	(2)	(2)	Common Stock	6,488 <u>(2)</u>
Series D Preferred Stock	<u>(2)</u>	11/19/2013		С		4,973,160	<u>(2)</u>	<u>(2)</u>	Common Stock	2,967,98 (2)
Series D Preferred Stock	(2)	11/19/2013		C		48,558	(2)	(2)	Common Stock	28,979 <u>(2</u>

Reporting Owners

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
ROEDER DOUGLAS A						
C/O DELPHI VENTURES,	X	X				
3000 SAND HILL RD., BLDG. 1, STE. 135	Λ	Λ				
MENLO PARK, CA 94025						

Signatures

/s/ Matthew T. Potter, by power of attorney for Douglas A.

Roeder 11/21/2013

**Signature of Reporting Person Date

Reporting Owners 2

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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).
 - The Reporting Person is a managing member of Delphi Management Partners VIII, L.L.C. ("DMP"), the general partner of each of Delphi Ventures VIII, L.P. and Delphi BioInvestments VIII, L.P. (collectively, the "Delphi Funds"). As a managing member of DMP, the
- (1) Reporting Person shares voting and investment power over the securities held by the Delphi Funds and may be deemed to have indirect beneficial ownership of such shares. The Reporting Person disclaims beneficial ownership of such securities held by the Delphi Funds, except to the extent of his proportionate pecuniary interest therein.
- (2) Each share of Preferred Stock automatically converted on a 1-to-0.5968 basis into Common Stock immediately upon the consummation of the Issuer's initial public offering and had no expiration date.
- (3) The number of shares of Preferred Stock reflects the effect of applicable anti-dilution adjustments that occurred as a result of the issuance of the Series D Preferred Stock.

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.