

Alphatec Holdings, Inc.
Form 3
November 09, 2016

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 * | | 2. Date of Event Requiring Statement | 3. Issuer Name and Ticker or Trading Symbol | |
| Â Nelson Dennis | | (Month/Day/Year) | Alphatec Holdings, Inc. [ATEC] | |
| (Last) | (First) | (Middle) | 4. Relationship of Reporting Person(s) to Issuer | 5. If Amendment, Date Original Filed(Month/Day/Year) |
| | | 10/05/2016 | | |
| C/O ALPHATEC HOLDINGS, INC.,Â 5818 EL CAMINO REAL | | | (Check all applicable) | |
| | (Street) | | <input type="checkbox"/> Director | <input type="checkbox"/> 10% Owner |
| | | | <input checked="" type="checkbox"/> Officer | <input type="checkbox"/> Other |
| | | | (give title below) (specify below) | |
| | | | VP, Finance and Controller | |
| CARLSBAD,Â CAÂ 92008 | | | 6. Individual or Joint/Group Filing(Check Applicable Line) | |
| (City) | (State) | (Zip) | <input checked="" type="checkbox"/> Form filed by One Reporting Person | |
| | | | <input type="checkbox"/> 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 | 556 | D | Â |
| Restricted Common Stock ⁽¹⁾ | 941 | D | Â |

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 | 4. Conversion or Exercise | 5. Ownership Form of | 6. Nature of Indirect Beneficial Ownership |
|---|---|--|---------------------------|----------------------|--|
|---|---|--|---------------------------|----------------------|--|

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| | Date Exercisable | Expiration Date | (Instr. 4) Title | Amount or Number of Shares | Price of Derivative Security | Derivative Security: Direct (D) or Indirect (I) (Instr. 5) | (Instr. 5) |
|----------------------------|---------------------------|-----------------|---------------------|----------------------------|------------------------------|--|------------|
| Non-qualified Stock Option | 12/19/2013 ⁽²⁾ | 12/19/2022 | Common Stock | 2,500 | \$ 24.6 | D | Â |
| Incentive Stock Option | 01/04/2014 ⁽²⁾ | 01/04/2023 | Common Sock | 6,250 | \$ 20.64 | D | Â |
| Incentive Stock Option | 08/08/2014 ⁽²⁾ | 08/08/2023 | Common Stock | 2,500 | \$ 24.48 | D | Â |
| Incentive Stock Option | 07/30/2015 ⁽²⁾ | 07/30/2024 | Common Stock | 3,750 | \$ 17.04 | D | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|------------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Nelson Dennis C/O ALPHATEC HOLDINGS, INC. 5818 EL CAMINO REAL CARLSBAD, CA 92008 | Â | Â | Â VP, Finance and Controller | Â |

Signatures

/s/ Eburn S. Garner, Esq.,
Attorney-in-fact

11/09/2016

__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) 833 of such shares of restricted common stock only vests upon a change of control of the company. 8 shares of such restricted common stock is fully vested.
- (2) The options vest over four years with 25% vesting on the anniversary of the grant date and the remaining 75% vesting in equal installments every three months for the three years thereafter.

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.