Edgar Filing: NanoString Technologies Inc - Form 4

| NanoString Form 4 March 03, 2 | Technologies I 017 | Inc | | | | | | | | | |
|--|-----------------------|-------|--|--|----------------|------------------|--|--|--|-----------|--|
| FORM | | | | | | | | | | | |
| Was | | | | RITIES AND EXCHANGE COMMISS shington, D.C. 20549 | | | | OMMISSION | OMB Number: | 3235-0287 | |
| Section 16. Form 4 or | | | F CHANGES IN BENEFICIAL OWNERSHIP O SECURITIES | | | | | | Expires:January 31Expires:2005Estimated averageburden hours perresponse0.5 | | |
| Form 5 obligations may continue. See Instruction 1(b). 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. IssueJOHNSON JAMES ASymbol | | | | er Name and Ticker or Trading | | | | 5. Relationship of Reporting Person(s) to Issuer | | | |
| NanoSt [NSTG] | | | tring Technologies Inc | | | | (Check all applicable) | | | | |
| | | | of Earliest Transaction Day/Year) 2017 | | | | Director 10% Owner X Officer (give title Other (specify below) below) Chief Financial Officer | | | | |
| | Filed(Mor | | | endment, Date Original onth/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 | | | |
| SEATTLE, | WA 98109 | | | | | | | Person | | porting | |
| (City) | (State) | (Zip) | Tab | le I - Non-I | Derivative | Secu | rities Acqu | uired, Disposed of | , or Beneficiall | y Owned | |
| 1.Title of Security (Instr. 3)2. Transaction Date (Month/Day/Year)2A. Deemed Execution Date, if any (Month/Day/Year) | | | 3.4. Securities AcquiredTransactior(A) or Disposed of (D)Code(Instr. 3, 4 and 5)(Instr. 8) | | | d of (D) | 5. Amount of Securities Beneficially Owned Following Reported | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) | | |
| 6 | | | | Code V | Amount | (A) or (D) | Price \$ | Transaction(s) (Instr. 3 and 4) | ,, | | |
| Common Stock (1) | 03/01/2017 <u>(2)</u> |) | | А | 621 <u>(3)</u> | А | 12.155 (<u>3)</u> | 7,954 | D | | |

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

 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. Transact: Code (Instr. 8) | 5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | | Amou Unde Secur | le and unt of rlying ities . 3 and 4) | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secu Bene Owno Follo Repo Trans (Instr |
|---|---|---|---|---------------------------------------|---|---------------------|--------------------|-----------------------|---|---|--|
| | | | | Code V | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | |

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Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | | | |
|--|---------------|-----------|-------------------------|-------|--|--|--|--|
| | Director | 10% Owner | Officer | Other | | | | |
| JOHNSON JAMES A 530 FAIRVIEW AVENUE N. SEATTLE, WA 98109 | | | Chief Financial Officer | | | | | |
| Signatures | | | | | | | | |
| /s/ Shannon Atchison, Attorney-in-fact | | | | | | | | |
| <u>**</u> 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).

The reporting person is voluntarily reporting the acquisition of shares of the issuer's common stock pursuant to the NanoString

- Technologies, Inc. Employee Stock Purchase Plan ("ESPP"), for the ESPP Purchase Period (as defined in the ESPP) of September 1, 2016 through March 1, 2017. This transaction is also exempt under rule 16b-3(c).
- (2) The Purchase Period ended on March 1, 2017 and is the first of two Purchase Periods comprising the Offering Period (as defined in the ESPP) that began on March 1, 2016 (the "Enrollment Date").
- (3) In accordance with the ESPP, these shares were purchased based on 85% of the closing price of the issuer's common stock on the Enrollment Date.

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.