

FLUIDIGM CORP

Form 4

September 03, 2015

**FORM 4**

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

Check this box  
if no longer  
subject to  
Section 16.  
Form 4 or  
Form 5  
obligations  
may continue.  
See Instruction  
1(b).

**STATEMENT OF CHANGES IN 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

## OMB APPROVAL

OMB  
Number: 3235-0287  
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 2005  
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response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
 Worthington Gajus Vincent

(Last) (First) (Middle)

FLUIDIGM CORPORATION, 7000  
 SHORELINE COURT, SUITE 100

(Street)

SOUTH SAN  
 FRANCISCO, CA 94080

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
 Symbol

FLUIDIGM CORP [FLDM]

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

09/01/2015

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

5. Relationship of Reporting Person(s) to  
 Issuer

(Check all applicable)

☐ Director ☐ 10% Owner  
☒ Officer (give title below) ☐ Other (specify below)

PRESIDENT &amp; CEO

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

☒ Form filed by One Reporting Person  
☐ Form filed by More than One Reporting  
 Person

**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. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	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				(A) or (D)			See Footnote (1)
Common Stock	09/01/2015		M	715 A	\$ 4.4461 7,530	D	
Common Stock	09/01/2015		M	5,285 A	\$ 4.0828 12,815	D	
Common Stock	09/01/2015		S <sup>(2)</sup>	6,000 (3)	\$ 11.826 (3) 6,815	D	
	09/02/2015		M	6,000 A	\$ 4.0828 12,815	D	

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Common  
Stock

Common Stock	09/02/2015	S(2)	6,000 (4)	D	\$ 11.2346 (4)	6,815	D
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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. Transaction Code (Instr. 8)	5. Number of Derivative 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)		8 In S (
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Employee Stock Option (Right to Buy)	\$ 4.4461	09/01/2015		M	715	<u>(5)</u>	05/07/2017	Common Stock	715	
Employee Stock Option (Right to Buy)	\$ 4.0828	09/01/2015		M	5,285	<u>(6)</u>	11/17/2019	Common Stock	5,285	
Employee Stock Option (Right to Buy)	\$ 4.0828	09/02/2015		M	6,000	<u>(6)</u>	11/17/2019	Common Stock	6,000	

## Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Reporting Owners

Worthington Gajus Vincent  
FLUIDIGM CORPORATION  
7000 SHORELINE COURT, SUITE 100  
SOUTH SAN FRANCISCO, CA 94080

X

PRESIDENT  
& CEO

## Signatures

/s/ Valerie Barnett,  
attorney-in-fact

09/03/2015

\_\_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).
- (1) Shares held directly by the Worthington Family Trust dated March 6, 2007, a trust for the benefit of the Reporting Person and the Reporting Person's spouse, for which the Reporting Person and the Reporting Person's spouse serve as trustees.
- (2) The sales reported were effected pursuant to a Rule 10b5-1 trading plan adopted on August 29, 2014.  
  
The "Amount" and "Price" reported in this Column 4 reflect the aggregate number and weighted-average price, respectively, of shares sold. These shares were sold in multiple transactions at prices ranging from \$11.56 to \$12.16, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the SEC staff, upon request, full information regarding the number of shares sold at each separate price within the range set forth herein.
- (3) The "Amount" and "Price" reported in this Column 4 reflect the aggregate number and weighted-average price, respectively, of shares sold. These shares were sold in multiple transactions at prices ranging from \$11.17 to \$11.28, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the SEC staff, upon request, full information regarding the number of shares sold at each separate price within the range set forth herein.
- (4) The shares subject to the Option fully vested on May 1, 2010.
- (5) The shares subject to the Option fully vested on November 17, 2013.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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