### Edgar Filing: TANDEM DIABETES CARE INC - Form 4

### TANDEM DIABETES CARE INC

Form 4

November 14, 2013

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL** OMB

3235-0287 Number:

January 31, Expires: 2005

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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. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

Stock (1)

(Print or Type Responses)

| HLM VENTURE PARTNERS II, SL.P. |                                      |   | S II, Symbol TANDE  | 2. Issuer Name and Ticker or Trading Symbol TANDEM DIABETES CARE INC [TNDM] |  |         |       | 5. Relationship of Reporting Person(s) to<br>Issuer  (Check all applicable)  |  |   |  |
|--------------------------------|--------------------------------------|---|---|---|--|---------|-------|--|--|---|--|
|                                | (Last) 222 BERKE                     | (First) (M                              | iddle) 3. Date of (Month/D 11/13/20                         | •   | ansaction                                  |         |       | Director Officer (give below)  | title Othe below)  |   |  |
|                                |                                      |   |   | mendment, Date Original  Month/Day/Year)                                    |  |         |       | 6. Individual or Joint/Group Filing(Check Applicable Line) Form filed by One Reporting Person _X_ Form filed by More than One Reporting Person |  |   |  |
|                                | (City)                               | (State) (2                              | Zip) Tabl   | e I - Non-D   | erivative Se                               | curitie |       | iired, Disposed of   | , or Beneficiall   | y Owned   |  |
|                                | 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8)                                     | 4. Securities on(A) or Disp (Instr. 3, 4 a | osed o  |       | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4)                             | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |
|                                | Common Stock (1)                     | 11/13/2013                              |   | P   | 200,000                                    | A       | \$ 15 | 200,000  | D (2)  |   |  |

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

Persons who respond to the collection of **SEC 1474** information contained in this form are not (9-02)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)

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| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5. orNumber of Derivative Securities Acquired (A) or |                  |            | 7. Title and<br>Amount of<br>Underlying<br>Securities<br>(Instr. 3 and 4) |              | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Nu<br>Deriv<br>Secur<br>Bene<br>Owne<br>Follo<br>Repo |
|---|---|--------------------------------------|---|---|--|------------------|------------|---|--------------|---|--|
|   |   |                                      |   |   | Disposed   |                  |            |   |              |   | Trans  |
|   |   |                                      |   |   | of (D)   |                  |            |   |              |   | (Instr   |
|   |   |                                      |   |   | (Instr. 3,   |                  |            |   |              |   | ,  |
|   |   |                                      |   |   | 4, and 5)  |                  |            |   |              |   |  |
|   |   |                                      |   |   |  |                  |            |   | Amount       |   |  |
|   |   |                                      |   |   |  |                  |            |   |              |   |  |
|   |   |                                      |   |   |  | Date             | Expiration | Title   | or<br>Number |   |  |
|   |   |                                      |   |   |  | Exercisable Date |            | of  |              |   |  |
|   |   |                                      |   | Code V                                  | (A) (D)  |                  |            |   | Shares       |   |  |

# **Reporting Owners**

| Reporting Owner Name / Address  | Relationships |           |         |       |  |  |  |
|---|---------------|-----------|---------|-------|--|--|--|
|   | Director      | 10% Owner | Officer | Other |  |  |  |
| HLM VENTURE PARTNERS II, L.P.<br>222 BERKELEY STREET<br>BOSTON, MA 02116                |               | X         |         |       |  |  |  |
| HLM Venture Associates II, LLC<br>222 BERKELEY STREET<br>BOSTON, MA 02116               |               | X         |         |       |  |  |  |
| CAHILL EDWARD L<br>C/O HLM VENTURE PARTNERS,<br>222 BERKELEY STREET<br>BOSTON, MA 02116 | X             | X         |         |       |  |  |  |
| GRUA PETER J<br>222 BERKELEY STREET<br>BOSTON, MA 02116                                 |               | X         |         |       |  |  |  |
| RAY RUSSELL T<br>222 BERKELEY STREET<br>BOSTON, MA 02116                                |               | X         |         |       |  |  |  |

# **Signatures**

| /s/ David B. Berger, Attorney-in-Fact for HLM Venture Partners II, L.P.     |            |  |  |  |  |  |
|---|------------|--|--|--|--|--|
| **Signature of Reporting Person   | Date       |  |  |  |  |  |
| /s/ David B. Berger, Attorney-in-Fact for HLM Venture Associates II, L.L.C. |            |  |  |  |  |  |
| **Signature of Reporting Person   | Date       |  |  |  |  |  |
| /s/ David B. Berger, Attorney-in-Fact for Edward L. Cahill                  | 11/14/2013 |  |  |  |  |  |
| **Signature of Reporting Person   | Date       |  |  |  |  |  |
| /s/ David B. Berger, Attorney-in-Fact for Peter J. Grua                     | 11/14/2013 |  |  |  |  |  |

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\*\*Signature of Reporting Person

Date

/s/ David B. Berger, Attorney-in-Fact for Russell T. Ray

11/14/2013

\*\*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 were purchased in connection with the Issuer's initial public offering.
- The reported securities are owned by HLM Venture Partners II, L.P. HLM Venture Associates II, L.L.C. (the "General Partner"), and Edward L. Cahill, Peter J. Grua and Russell T. Ray, the managing members of the General Partner, may be deemed to share voting and dispositive power over the reported securities but each disclaims beneficial ownership in the securities held by HLM Venture Partners II, L.P., except to the extent of their pecuniary interest therein.

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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