

FLUIDIGM CORP
Form 4
August 23, 2016

FORM 4

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
UNGER MARC

(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)

08/22/2016

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)

EVP, R&D and Marketing

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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| | | | Code | V | Amount or Price | | |
| Common Stock | 08/22/2016 | | M | | 350 A <u>1</u> 5,727 | D | |
| Common Stock | 08/22/2016 | | M | | 300 A <u>1</u> 6,027 | D | |
| Common Stock | 08/22/2016 | | M | | 300 A <u>1</u> 6,327 | D | |
| Common Stock | 08/22/2016 | | M | | 375 A <u>1</u> 6,702 | D | |
| Common Stock | 08/22/2016 | | M | | 338 A <u>1</u> 7,040 | D | |

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Common Stock 08/22/2016 F 627 D \$ 9.4 6,413 D

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

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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. Price or Derivative Security (Instr. 3) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|
| | | | | Code | V (A) (D) | Date Exercisable Expiration Date | Title | Amount or Number of Shares |
| Restricted Stock Units | <u>(1)</u> | 08/22/2016 | | M | 350 | <u>(2)</u> <u>(2)</u> | Common Stock | 350 |
| Restricted Stock Units | <u>(1)</u> | 08/22/2016 | | M | 300 | <u>(3)</u> <u>(3)</u> | Common Stock | 300 |
| Restricted Stock Units | <u>(1)</u> | 08/22/2016 | | M | 300 | <u>(4)</u> <u>(4)</u> | Common Stock | 300 |
| Restricted Stock Units | <u>(1)</u> | 08/22/2016 | | M | 375 | <u>(5)</u> <u>(5)</u> | Common Stock | 375 |
| Restricted Stock Units | <u>(1)</u> | 08/22/2016 | | M | 338 | <u>(6)</u> <u>(6)</u> | Common Stock | 338 |

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

UNGER MARC
FLUIDIGM CORPORATION
7000 SHORELINE COURT, SUITE 100
SOUTH SAN FRANCISCO, CA 94080

EVP, R&D
and Marketing

Signatures

/s/ Nicholas Khadder,
Attorney-in-fact

08/23/2016

__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) Each Restricted Stock Unit represents the contingent right to receive one share of FLDM common stock upon vesting of the unit.

On March 14, 2014, the Reporting Person was granted 5,600 Restricted Stock Units of which 4/48th of the total number of shares

(2) underlying the Restricted Stock Units granted vested on May 20, 2014, and 3/48th of the total number of shares underlying the Restricted Stock Units granted will vest every three months thereafter until fully vested, subject to recipient's continued status as a Service Provider as defined in the Company's 2011 Equity Incentive Plan through the applicable vest date.

On March 14, 2014, the Reporting Person was granted 4,800 Restricted Stock Units of which 4/48th of the total number of shares

(3) underlying the Restricted Stock Units granted vested on May 20, 2014, and 3/48th of the total number of shares underlying the Restricted Stock Units granted will vest every three months thereafter until fully vested, subject to recipient's continued status as a Service Provider as defined in the Company's 2011 Equity Incentive Plan through the applicable vest date.

On March 12, 2015, the Reporting Person was granted 4,800 Restricted Stock Units of which 4/48th of the total number of shares

(4) underlying the Restricted Stock Units granted vested on May 20, 2015, and 3/48th of the total number of shares underlying the Restricted Stock Units granted will vest every three months thereafter until fully vested, subject to recipient's continued status as a Service Provider as defined in the Company's 2011 Equity Incentive Plan through the applicable vest date.

On December 14, 2015 the Reporting Person was granted 6,000 Restricted Stock Units of which 2/48th of the total number of shares

(5) underlying the Restricted Stock Units granted will vest on February 20, 2016, and 3/48th of the total number of shares underlying the Restricted Stock Units granted will vest every three months thereafter until fully vested, subject to recipient's continued status as a Service Provider as defined in the Company's 2011 Equity Incentive Plan through the applicable vest date.

On March 4, 2016, the Reporting Person was granted 5,400 Restricted Stock Units of which 4/48th of the total number of shares

(6) underlying the Restricted Stock Units granted vested on May 20, 2016, and 3/48th of the total number of shares underlying the Restricted Stock Units granted will vest every three months thereafter until fully vested, subject to recipient's continued status as a Service Provider as defined in the Company's 2011 Equity Incentive Plan through the applicable vest date.

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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