

FLUIDIGM CORP
Form 4
November 06, 2013

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
Smith William Maxwell

(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)
11/04/2013

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, LEGAL AFFAIRS & GC

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	11/04/2013		M		254 A \$ 4.4461	254	D
Common Stock	11/04/2013		M		4,746 A \$ 4.4461	5,000	D
Common Stock	11/04/2013		M		1,250 A \$ 15.49	6,250	D
Common Stock	11/04/2013		S ⁽¹⁾		6,250 (2) D \$ 29.8938	0	D
	11/04/2013		M		2,000 D \$ 14.6	2,000	D

Edgar Filing: FLUIDIGM CORP - Form 4

Common
Stock

Common Stock 11/04/2013 S(1) 2,000 D \$ 30.73 0 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.

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. Amount or Number of Shares
Employee Stock Option (Right to Buy)	\$ 4.4461	11/04/2013		M	254	<u>(3)</u> 05/07/2017	Common Stock	254
Employee Stock Option (Right to Buy)	\$ 4.4461	11/04/2013		M	4,746	<u>(4)</u> 04/23/2018	Common Stock	4,746
Employee Stock Option (Right to Buy)	\$ 15.49	11/04/2013		M	1,250	<u>(5)</u> 02/17/2022	Common Stock	1,250
Employee Stock Option (Right to Buy)	\$ 14.6	11/04/2013		M	2,000	<u>(6)</u> 05/17/2021	Common Stock	2,000

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Smith William Maxwell FLUIDIGM CORPORATION 7000 SHORELINE COURT, SUITE 100 SOUTH SAN FRANCISCO, CA 94080			EVP, LEGAL AFFAIRS & GC	

Signatures

/s/ Valerie Barnett,
attorney-in-fact

11/06/2013

__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) The sales reported by Mr. Smith were effected pursuant to a Rule 10b5-1 trading plan adopted on November 28, 2012.

(2) 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 \$29.66 to \$30.60, 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 shares subject to the Option fully vested on May 1, 2011.

(4) The shares subject to the Option fully vested on May 1, 2008.

(5) 1/48 of the shares subject to the Option vested on February 17, 2012 and 1/48 of the shares subject to the Option vested on March 1, 2012 and each month thereafter, such that the Option will be fully vested on January 1, 2016

(6) 1/48th of the shares subject to the Option vested on June 18, 2011 and 1/48th of the shares subject to the Option vest monthly thereafter, such that the Option will be fully exercisable on May 18, 2015.

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.