## Edgar Filing: EDRICK ALAN I - Form 4

EDRICK AL	LAN I										
Form 4											
January 03, 2	2019										
FORM	14					~~~			OMB AF	PROVAL	
	UNITED	) STATES		RITIES A shington,			NGE C	OMMISSION	OMB Number:	3235-0287	
Check thi if no long	ter								Expires:	January 31,	
subject to		MENT O	F CHAN	GES IN BENEFICIAL OWNERSHI				NERSHIP OF	Estimated a	2005 Iverage	
Section 1	Section 16. SECU							burden hours per			
Form 4 or Form 5			~ • •		~ ·				response	0.5	
obligation	<b>n</b> o <b>1</b>						U	e Act of 1934,			
may cont				•	•	· ·		1935 or Section	1		
See Instru	uction	30(n)	of the In	vestment	Compan	y Ac	t of 194	0			
1(b).											
(Print or Type F	Responses)										
	•										
1. Name and Address of Reporting Person <sup>*</sup> _ 2. Issuer Name and Ticker or Trading 5. Relationship of							Reporting Person(s) to				
EDRICK ALAN I Symbol				STEMS INC [OSIS]				Issuer			
										<b>`</b>	
(Last) (First) (Middle) 3. Date of				f Earliest Transaction				(Check all applicable)			
12525 CHADRON AVE 12/31/20							Director 10% Owner				
				-				$X_ Officer (give$	r (specify		
								below) below) EVP & CFO			
	(Street)		4 If Ama	ndmant Da	to Original					c (Chaolr	
			endment, Date Original onth/Day/Year)				6. Individual or Joint/Group Filing(Check Applicable Line)				
Filed(Moli								_X_ Form filed by One Reporting Person			
HAWTHOR	RNE, CA 90250							Form filed by M Person	lore than One Re	porting	
(City)	(State)	(Zip)	Tabl	e I - Non-D	erivative	Secur	ities Acq	uired, Disposed of	, or Beneficial	ly Owned	
1.Title of	2. Transaction Da			3.	4. Securit		-	5. Amount of	6. Ownership		
Security	(Month/Day/Year		n Date, if	Transactio				Securities	Form: Direct		
(Instr. 3)		any (Month/l	Dav/Year)	Code (Instr. 3, 4 and 5) (Instr. 8)				Beneficially Owned	(D) or Indirect (I)	Beneficial Ownership	
		(11101111)	54, 204	(1115411-0)				Following	(Instr. 4)	(Instr. 4)	
						(A)		Reported			
						or		Transaction(s)			
				Code V	Amount	(D)	Price	(Instr. 3 and 4)			
Common Stock	12/31/2018			А	160 <u>(1)</u>	А	\$ 62.31	231,066	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)

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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. Transactic Code (Instr. 8)	5. of Derivative Securities Acquired (A) or Disposed of (D)		ate	Secur	int of rlying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owne Follo Repo Trans (Instr
				Code V	(Instr. 3, 4, and 5) (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

## **Reporting Owners**

Reporting Owner Name / Addre	ess	Relationships							
	Director	10% Owner	Officer	Other					
EDRICK ALAN I 12525 CHADRON AVE HAWTHORNE, CA 90250			EVP & CFO						
Signatures									
/s/ Alan Edrick	01/03/2019								
<u>**</u> Signature of	Date								

<u>\*\*</u>Signature of Reporting Person

## **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) Acquired pursuant to issuer's Employee Stock Purchase Plan.

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.