

TRUPANION INC.

Form 3

May 09, 2016

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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 *

PLOUF TRICIA

(Last) (First) (Middle)

C/O TRUPANION, INC., 907
NW BALLARD WAY

(Street)

SEATTLE, WA 98107

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

05/06/2016

3. Issuer Name and Ticker or Trading Symbol
TRUPANION INC. [TRUP]

4. Relationship of Reporting Person(s) to Issuer

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

(Check all applicable)

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

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 Beneficially Owned1. Title of Security
(Instr. 4)2. Amount of Securities Beneficially Owned
(Instr. 4)3. Ownership Form:
Direct (D)
or Indirect (I)
(Instr. 5)4. Nature of Indirect Beneficial Ownership
(Instr. 5)

Common Stock

1,000

I By Joseph Plouf ⁽¹⁾

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

SEC 1473 (7-02)

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Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)1. Title of Derivative Security
(Instr. 4)2. Date Exercisable and Expiration Date
(Month/Day/Year)3. Title and Amount of Securities Underlying Derivative Security
(Instr. 4)
Title

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:
Direct (D)6. Nature of Indirect Beneficial Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Stock Option (right to buy)	Â (2)	02/04/2023	Common Stock	20,000	\$ 4.05	D	Â
Stock Option (right to buy)	Â (3)	11/07/2023	Common Stock	10,000	\$ 4.8	D	Â
Stock Option (right to buy)	Â (4)	09/26/2024	Common Stock	50,000	\$ 8.74	D	Â
Stock Option (right to buy)	Â (5)	07/24/2025	Common Stock	10,255	\$ 7.78	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
PLOUF TRICIA C/O TRUPANION, INC. 907 NW BALLARD WAY SEATTLE, WA 98107	Â	Â	Â Chief Financial Officer	Â

Signatures

/s/ Charlotte Sim-Warner as attorney-in-fact for Tricia Plouf

05/09/2016

__Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(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 by Joseph Plouf, spouse of reporting person.

The option vests as to 25% of the total shares on October 8, 2013, and then 2.0833% of the total shares vest monthly thereafter, with

(2) 100% of the total shares vested and exercisable on October 8, 2016, subject to the reporting person's provision of service to the issuer on each vesting date.

The option vests as to 25% of the total shares on November 8, 2014, and then 2.0833% of the total shares vest monthly thereafter, with

(3) 100% of the total shares vested and exercisable on November 8, 2017, subject to the reporting person's provision of service to the issuer on each vesting date.

The option vests as to 25% of the total shares on August 1, 2015, and then 2.0833% of the total shares vest monthly thereafter, with 100%

(4) of the total shares vested and exercisable on August 1, 2018, subject to the reporting person's provision of service to the issuer on each vesting date.

The option vests as to 25% of the total shares on July 24, 2016, and then 2.0833% of the total shares vest monthly thereafter, with 100%

(5) of the total shares vested and exercisable on July 24, 2019, subject to the reporting person's provision of service to the issuer on each vesting 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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